The National Archives and Records Administration (NARA) requires Senior Agency Officials for Records Management (SAORM) to provide an annual report demonstrating how agencies are handling important records management initiatives as identified by NARA.

NARA uses the reports to determine the overall progress of the Federal Government in managing its records and the transition away from paper to digital formats and to identify best practices and model solutions within Federal agencies.

The reporting period begins on <u>March 11, 2019</u> with reports due back to NARA no later than <u>April 19, 2019</u>.

NARA plans to post your 2018 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. NARA intends to list any non-responding agencies in a summary report and on the website.

Instructions for Reporting

- This template covers progress through December 31, 2018.
- 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 rmselfassessment@nara.gov. Include the words "SAORM annual report - [Agency 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 SAORM   John Bravacos
- Position title   Senior Advisor
- Address   Department of Housing and Urban Development
 451 7th Street, SW Rm 10139
 Washington, DC 20410

1. **What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately? Please also indicate any that are new or have been changed due to reorganization or other circumstances.**

   Please provide list:

   This report covers the entire Department of Housing and Urban Development

2. **Is your agency and its components making progress towards managing all permanent electronic records in electronic format by December 31, 2019? (M-12-18, Goal 1.1)**

   X Yes
   ☐ No

   Please explain your response: The Department has identified its permanent record series and noted which of those are managed electronically. The Office of Records Management is working with the Department's Program Records Management Liaison Officers (RMLO) to conduct a full departmental inventory and review all retention schedules to ensure they are Media Neutral. Processes are being developed to facilitate standardized transfers to the National Archives.

3. **Has your agency implemented a plan that aligns to the criteria and requirements published by NARA in its _Criteria for Successfully Managing Permanent Electronic Records_ (March 2018)?**

    ☐ Yes
    X   No

Please explain your response: The Records and Information Management Program has developed draft implementation plans and established metrics, measures, and maturity models, which are based on NARA's success criteria. The Department has initiated the training of key stakeholders such as, Records Management Liaison Officers, Regional Points of Contact, and IT personnel. The implementation is still in its early stages and, the Department expects to provide periodic status updates to NARA via Proposed Corrective Actions in response to the October 2018 NARA Inspection Report.

4. **As included in the Administration's _Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations_ (June 2018), NARA will no longer accept paper records after December 31, 2022. Is your agency developing strategic plans, goals, objectives, and initiatives that will enable it to comply with this deadline?**

The Reform Plan states:
Transition to Electronic Environment: *Transition Federal agencies' business processes and recordkeeping to a fully electronic environment, and end the National Archives and Records Administration's acceptance of paper records by December 31, 2022. This would improve agencies' efficiency, effectiveness, and responsiveness to citizens by converting paper-based processes to electronic workflows, expanding online services, and enhancing management of Government records, data, and information.*

    X Yes
    ☐ No

Please explain your response (include specific goals and example metrics):

The Department is conducting a full departmental inventory of all record series and noting which of those are managed electronically. The Office of Records Management is working with Departmental Program RMLO to ensure they are Media Neutral. Processes are being developed to facilitate standardized transfers of legacy paper records to Federal Records Centers, in instances when proper retention periods have not yet been met.

5. **Is your agency utilizing <u>General Service Administration's Schedule 36</u> to procure solutions to assist in transitioning to an Electronic Environment?**

        X Yes
        ☐ No

Please explain your response: The Department consults Schedule 36, specifically, SIN 54-600 when procuring services related to electronic records management and transition. Currently most of the Departments procurements are on GSA IT Schedule 70.

6. **Have you, as the SAORM, established or improved your agency procedures that ensure all incoming and outgoing senior officials receive briefings on their records management responsibilities including documenting their public service, use of personal email, and other recordkeeping requirements?**

    * Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career Federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions.

        ☐ Yes
        ☐ Changes were unnecessary (click <u>here</u> for your agency's 2017 report)
        X No, changes are being considered but have not been made
        ☐ No

Please explain your response:

While the Department does not yet have a policy establish this practice, the initial onboarding of non-career officials consists of a formal briefing delivered by the Senior Agency Official and supplemented with a brochure complete with records and FOIA responsibilities.

Additionally, the pending draft policy includes a section on Training (Chapter 6) within which the below language is contained.

"Agencies must provide targeted records management training to political appointees, senior agency officials, and senior executives upon their arrival and departure, and within three to six months prior to a presidential administration change. This may include conducting entry and exit interviews with your agency's records management staff, IT liaisons, and general counsel to ensure that records are preserved and protected."

7. **Have you, as the SAORM, ensured that your records management program has the support and resources it needs to be successful? (See <u>NARA Bulletin 2017-02: <i>Guidance on Senior Agency Officials for Records Management</i></u>)**

> X Yes
> ☐ No

Please explain your response:

HUD has appointed the Director of Records and Information Management as the Department Records Officer. The Records Officer is a Certified Records Manager (ICRM), with over 23 years of experience and specialized subject matter expertise in Electronic Records Management. HUD has provided training to ensure that all Records Specialists within the Office of Records and Information Management have earned NARA Certificates of Federal Records Management and additional training is being provided monthly. Additionally, HUD has assigned a senior management analyst with strong subject matter expertise to serve as project manager for the Controlled but Unclassified Information program.

The SAORM also serves as the Senior Agency Official for Privacy and has coordinated strong collaborative partnerships with the Office of Privacy, Office of the Chief Information Office, and the Office of the Chief Human Capital Officer, to ensure cross-enterprise expertise and collaboration as HUD makes modernization improvements to the RIM program. Series of special project rotations have been executed to leverage skills throughout the department as HUD continues to address Findings and Recommendations from the 2018 NARA Inspection Report.

8. **Have you, as the SAORM, implemented an appropriate role-based records management training program that covers recordkeeping responsibilities for all staff including those with dedicated records management roles, Federal employees, contractors, senior executives and appointees? (See <u>NARA Bulletin 2017-01: <i>Agency Records Management Training Requirements</i></u>)**

> ☐ Yes
> X No

Please explain your response: HUD currently for FY19 has a web based Annual Mandatory training. The Department is working to assess and ensure 100% compliance in its completion. The Records and Information Management Program has initiated discussions with the Office of the Chief Human Capital Officer to require 100% compliance with the records management training, and initiated steps to begin drafting appropriate curriculum for each of the defined roles in NARA Bulletin 2017-01.

9. **Have you, as the SAORM, taken steps to direct and support Records Management staff in implementing an evaluation or auditing process to ensure records**

management directives, policies, procedures, and retention schedules are being properly implemented?

X Yes
☐ No

Please explain your response: In FY 18 the Department has implemented an Annual Records Management Assessment. The Assessment questions have been enhanced for FY 19 to incorporated findings from the 2018 NARA Inspection Report. The Department has also implemented standardized Program level assessment form, to allow for Records Management Liaison Officers to evaluate the Records Management compliance at the office level of the organization.

10. **Do you need support from NARA to ensure a successful transition to fully electronic recordkeeping?**

X Yes
☐ No

Please explain your response: The Department would benefit from NARA issuing clear and standardized transfer procedures from permanent electronic records. Additionally, further clarification on the appropriate disposition of scanned paper inputs could assist the Department in planning and executing digitization exercises.