



Senior Agency Official for Records Management 2017 Annual Report

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* 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 8, 2018 and reports are due back to NARA no later than March 16, 2018.

NARA plans to post your 2017 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, 2017.
- 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 - [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 vacant
- Position title
- Address 451 7th Street, SW, Washington, D.C.
- Office telephone number

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

The entire U.S. 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)**

☒ Yes

☐ No

Please explain your response:

HUD has identified all of its permanent records series and is in the process of revising records retention schedules to allow for electronic full lifecycle management of those records series. HUD has acquired multiple electronic recordkeeping applications which allow for 36 CFR 1236.20 compliant records management of permanent record series.

3. **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

☐ No

Please explain your response and include any obstacles you are facing in planning or implementing digitization initiatives.

The Records and Information Management program has an ongoing project that developed and presented a business case for a working capital fund that includes scanning and digitization accounts and activity.

4. OMB M-17-22 required agencies to create reform plans that may result in re-organizations and the elimination of offices and/or functions. Where necessary, has your agency taken steps to ensure that recordkeeping requirements and other records management needs have been or will be accounted for and implemented when making these changes?

☐ Yes

☒ No

Please explain your response:

Records and Information Management was not specifically involved in the development of HUD's reform plan.

5. Have you, as the SAORM, taken steps to ensure that your records management program has the strategic direction, support and resources it needs to be successful? (see: NARA Bulletin 2017-02: Guidance on Senior Agency Officials for Records Management <https://www.archives.gov/records-mgmt/bulletins/2017/2017-02.html>)

☒ Yes

☐ No

Please explain your response

Plans were made to restructure the records management program within HUD's Office of Administration in order to best support the modernization of the agency's records schedules and practices. The SAORM ensured that the RM program coordinated with the privacy and FOIA programs in HUD's information collection, storage, and reporting; IT system development; and discovery activities. After experiencing heavy attrition, the Departmental Records Management office was resourced with four new records analysts.

6. **Have you, as the SAORM, ensured that 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
☐ No

Please explain your response:

During the 2016 presidential transition, the majority of outgoing senior officials were briefed, and they provided signed acknowledgments of records responsibilities. Many were briefed directly by the SAORM at the request of senior leadership, to emphasize the importance of the activity. Upon welcoming new political appointees during and after the transition, HUD provided an orientation desk guide, within which Records and Information Management had provided "do's and don'ts" of records responsibilities.

7. **Is the records management program and related requirements included in your agency's Information Resource Management Plan or an equivalent information management plan? ([OMB Circular A-130, Managing Information as a Strategic Resource](#))?**

☐ Yes
☒ No

Please explain your response:

HUD is currently updating its Information Resource Management Plan, which was last completed in FY 2015. Records Management is being incorporated as a participating stakeholder in the new plan.

8. What policies, guidance or support do you need from NARA to ensure a successful transition to fully electronic recordkeeping? (NARA Strategic Plan. Goal 2.4)

The agency is actively developing policies, systems, procedures, and training in support of electronic recordkeeping, and would find it valuable to have NARA conduct an evaluation and provide recommendations for further improving the HUD records management program.