



Senior Agency Official for Records Management 2019 Annual Report

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.

On June 28, 2019, the Office of Management and Budget and the National Archives issued a memorandum: *Transition to Electronic Records* (M-19-21) to ensure that all Federal records are created, retained, and managed in electronic formats by December 31, 2022. This year's SAORM report provides an opportunity for agencies to report on plans and progress towards the milestones and target goals in this memorandum, as well as other important records management initiatives.

The reporting period begins on January 13, 2020, with reports due back to NARA no later than March 13, 2020.

NARA plans to post your 2019 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 records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2019.
- 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 rmsselfassessment@nara.gov. Include the words "SAORM 2019 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 **General Deputy Assistant Secretary**
- Address **451 7th Street SW, 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:

Department of Housing & Urban Development and all component parts.

- 2. Is your agency managing all permanent electronic records in electronic format as of December 31, 2019? (M-19-21, 1.1)**

- Yes
 No

Please explain your response:

HUD has inventoried all of its permanent record series and determined that they are all being managed in electronic format. HUD is continuing its inventory efforts to determine if there are any additional, yet unidentified, permanent record series.

- 3. Has your agency made progress towards managing all permanent records in an electronic format with appropriate metadata by December 31, 2022? (M-19-21, 1.2)**

- Yes
 No

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

All permanent records are currently managed electronically, and appropriate meta-data is captured and preserved in compliance with 36 CFR Chapter XII. There are continued efforts underway to improve practices as it relates to meta-data management.

4. Has your agency made progress towards managing all temporary records in electronic format? (M-19-21, 1.3)

- Yes
 No

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

There are coordinated efforts underway to manage all temporary records in electronic format. This includes program by program inventories to identify and verify all record series. Tools are being procured and implemented to facilitate the management of unstructured data, and the Universal Electronic Records Management Requirements are being used to guide the implementation of new systems.

5. Have you, as the SAORM, taken steps to ensure that your records management program complies with the Federal Records Act and its regulations through strategic plans including performance goals, objectives and measures? (M-19-21, 1.4)

- Yes
 No

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

HUD has increased staff on the Records Management team by 40%. The Records Management program has identified Key Metrics and Measures, Evaluation tools, and Records Management Maturity Models to use in the assessment of records programs across the organization.

6. If applicable, have you identified all agency-operated records centers and made plans to either close them before 2022, or have you submitted a request to NARA for an exception? (M-19-21, 1.3)

- Yes
 No

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

The agency does not have an operational agency run storage facilities but does have staging areas which are being consolidated. Paper records in agency file rooms are being actively transferred to NARA run Federal Records Centers, and all business processes are being modernized into electronic based workflow lifecycles.

7. Does your agency have procedures that include documentation to ensure records of outgoing senior officials* are properly captured and/or processed and not improperly removed, altered, or deleted including electronic records and email?

*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 (include specific details of procedures):

HUD has recently implemented a new Separating Employee Clearance process which addresses exiting employees, including senior officials. This new practice is being implemented and refined throughout the FY 20 fiscal year.

8. Do you, as the SAORM, see challenges within your agency in meeting the goal of fully-electronic recordkeeping?

- Yes
 No

Please explain your response (include details of specific challenges, if applicable):

Much work process automation is dependent upon available funding, and elongated timelines to fully implement new solutions. Some modernization projects may extend into FY 2023.

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

- Yes
 No

Please provide details on what support is needed:

NARA approval of the HUD NA1005 Capstone form would greatly assist in HUD moving forward with fully transitioning to electronic records.

HUD would also benefit from NARA and OPM issuing new Position Descriptions and/or Job Classification updates for electronic records management staff.