



Senior Agency Official for Records Management FY 2015 Annual Report

The *Managing Government Records Directive (M-12-18)* requires Senior Agency Officials (SAOs) for Records Management 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 November 16, 2015, and reports are due back to NARA no later than COB January 29, 2016.

Please note that NARA will post a version of your 2015 SAO report on the NARA website. This action is in the interest of transparency in Government and to promote collaboration and communication among agencies. Please let us know whether there is a specific justification as to why your report cannot be publicly shared (in whole or in part).

Instructions for Reporting

- This template covers progress through fiscal year (FY) 2015.
- Please be brief and precise in your answers. Limit answers to each question to no more than 500 words.
- Please complete the eight questions/items on the following pages and send the report to prmd@nara.gov. Include the words “SAO annual report” and your agency’s 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 SAO: Patricia A. Hoban-Moore

Position title: Chief, Administrative Officer

Address: 451 Seventh Street SW, Washington, DC 20410

Office telephone number: 202.402.4254

1. What are the agencies, components, or bureaus covered by this report and your position as SAO?

Please list them below: U.S. Dept. of Housing and Urban Development

2. Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
 - *Email policies have been through initial clearance. Currently incorporating NARAs recent changes in email policies to be included in the proposed HUDs email policy. Will be sent out for reclearance (Admin).*
- *use of any automated systems for capturing email,*
 - *HUD has recently completed the implementation of Microsoft Office 365 (O365) for email and this cloud solution is the automated system used to satisfy HUD's email capture requirements.*
- *providing access / retrievability of your email,*
 - *O365 is providing email access for HUD and HUD will use the O365 capabilities to retrieve email files to satisfy this requirement.*

- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
 - *NARA has recently published retention periods for capstone email.*
 - *HUD is purging all emails in O365 that exceed HUD's email retention policies related to non-permanent email records.*
 - *HUD will electronically retrieve permanent email records (i.e. Capstone designated email accounts) in O365 and electronically transfer these records to NARA in an approved format.*
- *possible implementation of the Capstone approach for applicable agency email.*
 - *Capstone approach has been incorporated into proposed email policy.*

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

- *HUD will implement email records management policies*
- *HUD will implement O365 configurations to align with email records management policies for permanent and non-permanent email records to automate compliance capabilities*

3. Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are federal records from their non-official accounts to official accounts within 20 days?

Yes No

Please provide a brief description of the actions taken, such as establishing policies and providing training.

Proposed email policy is currently in Departmental Clearance. Proposed policy does include requirements to forward email and related electronic messages to their official government email account. Updated training to include employee responsibility resulting from the 2014 Federal Records Act amendments is currently being developed.

4. Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

HUD policy designates agency head and other executives as Capstone officials. HUD will manage all email and instant messages for these accounts as required for permanent records. HUD controls for Capstone officials will include retention of all emails for 3 years and transfer to NARA all email records that are older than 3 years.

5. Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes No

5a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.

Our records management staff is currently consolidating and updating existing record schedules to allow the newly revised General Record Schedules (GRS) to supersede existing duplicative retention schedules.

5b) Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.

This agency plans to submit revised retention record schedules in FY 16 and FY 17 to include the newly revised General Record Schedules and eliminate existing redundant schedules between program areas.

6. Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes No

6a) Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records, and*
- *establishing disposition practices for agency electronic records.*

6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

- *The Office of Administration in collaboration with the OCIO plans to pilot scanning services in FY 16.*
- *The Office of Administration in collaboration with the OCIO plans to capture scanned images into an agency-wide repository for electronic transfer to the National Archives-Federal Record Center*
- *The Office of Administration is conducting an agency wide records management assessment in FY 16 to address requirements needed to meet Directive Goal 1.1.*

7. Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.

Provide a brief description, including any positive or negative outcomes, challenges, and other obstacles.

- *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. Securing IT and Capital Planning funds is a challenge in the implementation of the Act.*

8. With regard to records management, is your agency preparing for the upcoming change in Presidential administration?

Yes No

8a) *Provide a list of the actions your agency, components, or bureaus have taken to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration.*

8b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to ensure records of departing senior officials will be appropriately managed during the upcoming change in Presidential administration, including ensuring that federal records are not improperly removed from the agency.*

The Office of Administration and the Office of General Counsel will collaborate on briefing Schedule C appointees and other departing senior officials in the upcoming Presidential administration on existing record management policies and what they can and cannot take with them.