



Senior Agency Official for Records Management 2020 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 19, 2021, and reports are due back to NARA no later than March 19, 2021.

NARA plans to post your 2020 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 both records management program developments towards the transition to electronic recordkeeping outlined in M-19-21 through December 31, 2022, and other aspects of agency records management programs.
- 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 2020 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: Nancy Corsiglia
- Position title: Chief Administrative Officer
- Address: 451 7th Street SW Washington DC

1. What agencies, bureaus, components, or offices are covered by this report and your position as SAORM and which will be reporting separately?

There are no changes, the Senior Agency Official for Records Management is still the senior official responsible for all organizations across the Dept of Housing and Urban Development.

2. Has the COVID-19 pandemic changed any policies or practices related to records management at your agency?

- Yes
 No
 Do not know

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

The greatest challenge has resulted from the closure of the Federal Record Centers across the country. This has resulted in an inability to retrieve records, and transfer paper records. This has hindered our ability to effectively execute field office relocations, and refurbishing. The department then incurs increased cost beyond what has been budget forecast.

The unexpected fee increases for storage also placed the department in a very unexpected budgetary situation.

3. Does your agency have an established information governance framework that connects records management, data management, and other agency information lines of business? (A relationship between CIO, CDO, SAORM, DRO/ARO, RM Staff)

- Yes
 No
 Do not know

Please provide details on what support is needed:

Roles and responsibilities are clearly defined in the RIM Policy HUD 2200.1, and regular recurring meetings are conducted between stakeholders to allow for effective communication between the records program, and the Office of the Chief Information Officer, Chief Technology Officer, and Chief Data Architect's office.

4. 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
 Do not know

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

The Department has nearly completed the System Inventory, and Records Series inventory for all permanent records, and is currently updating Records Retention Schedules to ensure they are approved as media neutral. The department has also begun to transfer permanent records in electronic format, effectively performing several transfers. Organizations are developing clear and detailed Standard Operating Procedures to effectively move this initiative to completion.

5. Has your agency made progress towards managing all temporary records in an electronic format by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

The Department has nearly completed the System Inventory, and Records Series inventory for all records, and is currently updating Records Retention Schedules to ensure they are approved as media neutral. The department has issued a new Records Management Handbook which provides guidance for the management and disposition of both Structured and Unstructured data both on agency hosted systems as well as cloud-based appropriate recordkeeping systems.

6. Is your agency investing resources in IT to support the transition to electronic recordkeeping?

- Yes
 No
 Do not know

Please explain your response. If Yes: Please include specific examples of resources and how this will support records management processes. If No or Do not know: Please explain.

The Department has migrated its IT platform to the Office 365 cloud platform which provides critical functionalities to comply with 36 CFR 1236.10/20/22 and the Universal ERM Requirements Ver. 2 issued by NARA. The department has also procured multiple Electronic Records Management tools and is engaged in implementing them through collaboration among our Electronic Records Management Division, the Office of the Chief Information Officer, and the mission focused program offices.

7. To meet the requirements of M-19-21, 1.3, related to records storage facilities, does your agency have plans to use commercial storage to replace agency-operated records centers and NARA Federal Records Centers by December 31, 2022? (M-19-21, 1.3)

- Yes
 No
 Do not know

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

The Department hopes to have migrated to electronic records management practices by the December 31st, 2022 deadline. In the event this goal can not be met the Department will consider commercial storage when agency-based records storage is not feasible. Most Department business processes have already moved to a fully electronic life-cycle.

8. Does your agency have policies and procedures that include documentation to ensure records of newly appointed and 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
 Do not know

Please explain your response (include specific details of policies and procedures):

The Department has implemented policies and procedures to effectively ‘freeze’ emails by senior officials, and the Department is working towards effectively implementing similar procedures for senior officials over their unstructured data records repositories.

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

- Yes
 No
 Do not know

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

Several key services provided by HUD currently must be executed via paper-based processes. It is not yet known if they will be able to be migrated to electronic based tools prior to the deadline. These instances often are related to real estate filings with state or local government agencies.

10. Do you have suggestions for NARA to improve its engagement with you as the SAORM?

- Yes
- No
- Do not know

Please explain your response (include any comments on previous NARA SAORM engagements, topics for future engagements, or other suggestions):

In light of the current pandemic and the inability to hold SAORM briefings at the National Archives, it may be helpful to have the normal executive briefings to be conducted via virtual tools.