

ANNUAL E-GOVERNMENT ACT REPORT

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Executive Summary: At the Department of Housing and Urban Development (HUD) E-Government is more than just implementing web-based technologies and applications. E-Gov is conducting business electronically, safely, efficiently, and effectively and in a manner that is accessible to business partners and citizens at any time of the day. HUD continues its E-Government transformation for meeting public expectations and open and transparent government mandates by increasing access to information and services using innovative information technology (IT) and Internet solutions, developing systems within expected costs and schedules that can be shared and used to simplify business processes, ensuring the protection of personal data, and providing increased security to guard against intrusion and improve reliability. These E-Government efforts support HUD's mission and goals by delivering more value to citizens and business partners, promoting innovation, and incorporating best practices and federal-wide solutions.

Recently, the Office of Management and Budget (OMB) issued the Open Government Directive to the heads of executive departments and agencies directing specific actions to fully implement the principles of transparency, participation, and collaboration set forth in the President's Memorandum on Transparency and Open Government. HUD's strategic priorities are aligned with this open government directive through implementation of a task-based portal, WEB 2.0, and social media technologies. These technologies allow the Department to continue its E-Government transformation for meeting public expectations and open government mandates by increasing access to data, information, and services. Additionally, these innovative tools play a vital role among the social community. By implementing mash-ups, twitter, blogs, and RSS technologies, we are enabling and encouraging the public to participate with the Department in places where they already are (in social network sites and online communities) rather than expecting the public to come to us.

HUD's current strategic priorities focus on innovations for improving business functions and delivering services are:

- Embracing *Systemic Reform* to reinvent the way it delivers traditional programs;
- Engaging in continuous *Policy Innovation* to move beyond legacy programs and shaping new markets and methods in the production and preservation of affordable housing, the "greening" of residential housing, the regeneration of distressed neighborhoods, and the promotion of sustainable growth in metropolitan America;
- Harnessing *Private Sector Capital and Talent* to ensure that innovations become widely adopted in market practice and that public resources leverage private sector investment;
- Inventing a new kind of *Partnership and Collaboration*, to respond to multi-dimensional challenges facing the country; and
- Committing to an unprecedented level of *Transparency and Accountability*, to use metrics to gauge performance; research to evaluate programs; demonstrations to foster policy innovation; technical assistance to identify and disperse innovation; and technology to track spending, inform decisions, and help curb fraud, waste, and abuse.

These strategies represent a huge step forward in offering the American public a more open and transparent HUD. The public will be provided a better understanding of how we work and to give them a real voice in how we do business.

Section I: Transparency, Engagement, and Innovation

1. Describe major transparency initiatives undertaken in the past year and major transparency initiatives planned for the coming years.

HUD's major FY 2009 transparency initiatives are:

- **ARRA Section 1512 (FederalReporting.gov):** The cornerstone of the Recovery Act's emphasis on transparency has been the government-wide recipient reporting in FederalReporting.gov. To facilitate this effort, HUD has worked extensively with recipients to provide training and address questions and concerns. Guidance documents, training videos, a job counting calculator, frequently asked questions, and other documents have been routinely maintained at www.hud.gov/recovery/reporting. Additionally, webcasts and conference calls have been held with grantees across HUD's nine Recovery Act Programs. HUD also created a Recovery Reporting Call Center, accessible by phone or e-mail, to address grantee questions and concerns. HUD has also collaborated with other agencies and with OMB to improve FederalReporting.gov, to clarify guidance, and to coordinate communication with stakeholders.
- **RAMPS:** HUD's Recovery Act Management and Performance System (RAMPS) is a new, web-based reporting system providing better access to key information on HUD's Recovery Act awards, to serve the crucial goals of transparency and accountability in the American Reinvestment and Recovery Act (ARRA). Through RAMPS, HUD's Recovery Act recipients report on the status of their environmental reviews under the National Environmental Policy Act (NEPA). This information is then provided to the Council on Environmental Quality (CEQ) for publication. Additionally, RAMPS collects information on recipient "core activities", such as housing units built or rehabilitated, energy efficiency improvements, and clients served. This information facilitates better management, problem-solving, and communication between HUD and award recipients.

HUD remains committed to an unprecedented level of transparency and accountability and has undertaken a Transformation Initiative that will:

- Provide a systematic and cross-cutting approach to transformation;
- Build a foundation of current data on performance, as well as reliable evidence about program and policy results;
- Test new program approaches in a carefully structured and rigorously evaluated manner;
- Diffuse innovation and supporting state and local partners in using public resources effectively; and
- Upgrade technology and link data to prevent waste, inform program managers and stimulate high performance.

As a part of HUD's Transformation initiative, HUD recently launched a website that allows both internal and external stakeholders an opportunity to contribute real-time feedback to improve the Department. Stakeholders are able to submit ideas through an interactive website called [HUD Ideas In Action](#). This is an opportunity for employees to contribute day-to-day insights about what works well at HUD and what can be improved. Additionally, it will be an incredible resource for our partners to share their insights as well. Once an idea has been posted, anyone can vote and comment on which ideas are best. **HUD Ideas in Action** is reviewed daily and the ideas that receive the most votes and comments are assessed for possible implementation.

2. Do you have an innovation you would like to share with the public and the Federal workforce on the Innovations Gallery?

Recovery Act Projects Map: The transparency and oversight requirements of ARRA cite that agencies making ARRA funds available must provide on their dedicated Recovery website, detailed reports and other information on funding received and obligated and funded project and activities. To meet these ARRA transparency and oversight reporting requirements, both USDA and HUD implemented maps that were easy to access and use by the public. However, USDA implemented Google mapping technology that efficiently and effectively takes the ARRA reporting information and displays the information geospatially by state and counties. Recognizing the benefit of this solution, including but not limited to ARRA data submission, accurate and timely data reporting, and information posting requirements to agency websites, HUD partnered with USDA to merge ARRA data from both agencies into the USDA [ARRA Projects map](#). The resulting cutting edge Recovery Act web mapping tool is increasing transparency and keeping the public informed and involved in Recovery Act spending by allowing an internet user to search and view HUD and USDA projects that are funded by the Recovery Act nationwide.

This collaboration was an initial effort between several agencies to demonstrate the geographical location of Recovery-funded projects, which has since been accomplished for all grants and contracts government-wide by Recovery.gov, a system administered by OMB.

3. How many data sets does your agency have on data.gov?

HUD currently has 8 datasets residing on Data.gov:

- American Housing Survey (<http://www.data.gov/details/965>)
- Multifamily Assistance Section 8 Contracts (<http://www.data.gov/details/351>)
- Fair Market Rents for the Section 8 Housing Assistance Payments Program (<http://www.data.gov/details/606>)
- 50th Percentile Rent Estimates (<http://www.data.gov/details/607>)
- Program Income Limits (<http://www.data.gov/details/608>)
- State of the Cities Data Systems (<http://www.data.gov/details/609>)
- Real Estate Assessment Center Physical Inspection Scores (http://www.huduser.org/portal/datasets/pis/Pub_Hsg_Property_Physical_Insp.txt)
- Multifamily Assisted Property Physical Inspection Dataset (http://www.huduser.org/portal/datasets/pis/Multifamily_Assisted_Property_Physical_Inspection_Dataset.txt)

4. Describe your progress in complying with OMB requirements to post all spending data on usaspending.gov.

HUD currently collects and posts existing agency spending data on a monthly basis. Effective February 2010, HUD will collect and post spending data on a semi-monthly basis.

5. What tool(s) is your agency using to advance citizen participation and engagement? Cite examples of how the agency has used citizen feedback.

HUD is committed to the new open government directive and the advancement of citizen participation and finds that delivering housing and community information and resources online is an effective manner to engage the public. To improve participation and information delivery, HUD unveiled a redesigned HUD.gov this year. The new HUD.gov website was launched on an enterprise portal platform that is more user-friendly and is allowing the public to easily find and access our information. The new HUD.gov platform also delivers a modern framework that provides a completely integrated set of components for Portals, Business Intelligence Dashboards and Dynamic Online Communities that leverage social computing services and all types of business applications. This includes rich Web 2.0 technologies such as wikis, blogs, tagging, linking, discussions, and Really Simple Syndication (RSS) feeds to distribute information and increased efficiencies for HUD staff and the public to work together.

Today, the new HUD.gov features the most sought-after information such as "Buying a Home," "Avoiding Foreclosure" and "Rental Assistance" and provides easy access to a wide variety of resources, including an apartment search tool and calculators to help families decide whether to buy or rent a home or how much mortgage payment they can afford. The redesigned website also gives visitors the opportunity to participate through the use of social networking tools such as: Face book, Twitter, YouTube, and Blogs. Additionally, HUD.gov is providing an integrated set of tools and services, so that HUD is able to continue to build and deploy next-generation collaborative applications and portals that improve business processes and information deliver. (Continued...)

Recent examples of how HUD is employing HUD.gov and other mechanisms to gather and use feedback from the public include:

- **[HUD Ideas in Action](#)**: Partnering with the National Academy of Public Administration, HUD has launched an interactive website called [HUD Ideas in Action](#). This site allows HUD staff and the public to provide real-time feedback on ways to improve HUD. Once an idea is posted, others are able to vote and comment on their favorite ideas. The ideas with the most votes and comments will be reviewed for possible implementation. [HUD Ideas in Action](#) was launched as part of HUD's FY2010-2015 Strategic Plan which allows the agency to fulfill its vision of being a partner for residents, partners, employees, and the public over the next five years.
 - **[DisasterRecoveryWorkingGroup.gov](#)**: HUD and DHS launched [DisasterRecoveryWorkingGroup.gov](#), a new interagency website allowing federal disaster recovery officials to solicit public comments from state, local and tribal partners and the public. The new website will be used by the federal government's newly formed Long Term Disaster Recovery Working Group, co-chaired by HUD Secretary Donovan and DHS Secretary Napolitano, to solicit stakeholders' ideas for disaster recovery; articulate objectives for recovery assistance going forward; identify examples of best practices; raise challenges and obstacles to success; and share thoughts, experiences and lessons learned.
 - **[RESPA Outreach Campaign](#)**: In an effort to address industry concerns about how to implement new mortgage rules due to take full effect on January 1st, 2010, HUD is providing a series of live interactive online presentations intended to increase readiness among mortgage professionals. Led by HUD's Deputy Assistant Secretary for Single Family Housing, the online meetings are intended to allow industry professionals to ask questions about implementing the new rules. In addition, HUD has published more than 250 frequently asked questions to answer many of the mortgage industry's specific compliance issues. These efforts build on the Department's commitment to assist consumers and industry organizations in adopting modern standards that will improve the manner in which American families purchase homes and refinance mortgage loans.
 - **[World Habitat Day web page](#)**: HUD launched a new web page showcasing the variety of events taking place around the country including the World Habitat Day opening ceremony and a prestigious awards program taking place at the National Building Museum in Washington, DC. World Habitat Day is an annual event sponsored by the United Nations General Assembly to promote innovations in affordable housing and sustainable urban development. This year, the United States is hosting the event for the first time ever. HUD's new web page offers online registration for those who wish to attend the October 5th opening day ceremony at the National Building Museum and a host of other events including a forum on Livable Communities being hosted at Howard University in Washington. The web page also directs readers to the official UN HABITAT website, which highlights the events taking place around the world as well as links to HUD and U.N. co-sponsoring partners.
- 6. Is your agency currently meeting all reporting requirements of M-09-19 (FFATA Data Submission). If not, what are your plans for becoming compliant?**

HUD is not currently compliant with meeting all FFATA data submission requirements. However, efforts are underway to:

- a) Implement automated and streamlined process efficiencies in March 2010 that will improve data completeness and quality prior to submission.
- b) Increase Program Office participation to complete the collection, quality assurance and delivery of missing programmatic data.

Section II: Information and Information Technology Management

1. How has the IT Dashboard impacted the investment management process at your agency?

The IT Dashboard has helped to guide improvements to the HUD investment management process. The use of the IT Dashboard provides HUD with the ability to hold Investment Owners and Project Managers accountable for the risks, costs and schedules of its major investments. Through the use of the IT Dashboard, major investments regularly update their cost, schedule and risk data. The Project Managers have been very responsive to ensuring that the data provided is accurate and clearly reflects the work and value that is being delivered for each initiative. The IT Dashboard has also increased the awareness among Senior Leadership. The results of the IT Dashboard and all investments that receive DME dollars are presented to the monthly Technology Investment Board Working Group (TIBWG). Investments that have variances that are trending toward or exceed the minimum and maximum threshold are discussed and action plans are developed to get the investment back on track.

2. Describe your agency's efforts in complying with reporting requirements for the IT Dashboard.

This process requires greater responsibility and participation from the investment sponsor/owners than has been required in the past. IT Investment Management (ITIM) Office is working closely with the Federal eCPIC Steering Committee (FESC) to define technical requirements for electronic submission capability. The ITIM Office has established a monthly reporting cycle using a 15 day review period. The reporting cycle begins on the 15th of the prior month and ends on the 15th of the current month. ITIM reports the cost, schedule and risk to OMB on a monthly basis. Our reporting cycle is as follows:

- 18 December - PM's report actual cost, schedule and risk data
- 23 December - Federal IT Dashboard updated for CIO review
- 30 December - OMB Updates the Federal IT Dashboard

3. Describe the process your agency is using to apply CIO Evaluations for your major IT investments.

HUD completes the CIO evaluation during the preparation of the monthly IT Dashboard submission. HUD has defined five evaluation factors – Risk Management, Requirements Management, Contractor Oversight, Historical Performance, Human Capital and final criteria that is based on the factors that the CIO deems important to forecasting future success. Each major investment owner completes a self assessment of the risk of their investments and a rationale is provided to support the score. OCIO completes an assessment of each major investment. The scores from both the investment owner and OCIO are averaged into a single risk score. This report is submitted to the Department CIO to review and consider other factors that may be affecting the investment resulting in a final CIO risk score. This score is posted to the Federal IT Dashboard. Information from this monthly process will be used during the fiscal year 2012 Select process to assist with scoring investments and determining the future of each of the major investments.

4. Provide your agency's IRM Strategic Plan and EA Transition Plan

HUD's Information Resources Management (IRM) Strategic Plan is available at:

<http://www.hud.gov/offices/cio/documents/itstratplan3.pdf>

HUD's Enterprise Architecture (EA) Transition Plan is available at:

<http://www.hud.gov/offices/cio/ea/newea/resources/eatpv2.pdf>

5. Outline the progress of integrating the EA and the Capital Planning and Investment Control processes and policies.

HUD 's progress is demonstrated by the EA and ITIM integration and coordination Quality of Service (QoS) initiative to improve overall service and strive for excellence within HUD. The planned results include, a strategic focus on mission performance, opportunity to improve program performance, reduction of duplication/redundancy of data calls sent to Program areas, and prioritized IT spending. The specific initiatives include:

- Segment Architecture Prioritization Process. The strategic planning process for prioritizing the business investments to better support the mission and business operations of the Department by strengthening the quality of investments within the agency portfolio as reflected in critical attributes such HUD Mission, Performance, Risk, Financial Management OMB/GAO mandate and compliance. This initiative is in progress.
- Align IT investment portfolio with EA and EA Transition Plan and all major investments (including non-major investments with DME) to provide performance improvement integration and validate DME spending. This initiative is on-going.
- Coordinate and collaborate on the alignment of the Performance Indicators/Measures identified in the HUD Strategic Plan, the Annual Performance Plan, the Management Plan, The Performance Accountability Report (PAR), the Performance Reference Model (PRM), the OMB Exhibit 300, and the Performance Architecture. The framework development phase for the Performance Management initiative is 100% complete. The implementation phase is in planning.
- Coordinate and combine the major data calls sent to Program Areas and OSIE such as the IT Master Schedule (ITMS) and monthly Project Plan reporting. This initiative is to be complete in FY 2010.

6. Provide the status and maturity of your modernization roadmap (segment architecture) activity including use by major programs and alignment of shared target architectures.

The status and maturity of HUD's modernization roadmap is provided / demonstrated in the following:

- EA Transition Plan (EATP) V3.0 (<http://www.hud.gov/offices/cio/ea/newea/resources/eatpv2.pdf>)
- Business and IT Modernization Plan Development Guidance/Work Product and Decision Templates Volume 1 of 1 (<http://www.hud.gov/offices/cio/ea/newea/resources/segment.pdf>)
- HUD Segment Architecture Codes (please refer to Attachment A: HUD Segment Architecture Codes – November 2009)

7. For each E-Gov initiative, provide the final determinations, priorities, and schedules. Also include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency's information by the public.

HUD.gov was developed as the information clearinghouse for the public and our business partners. Consequently, HUD's E-Gov initiatives already provide the most commonly requested information under the Freedom of Information Act and through email and telephone contacts. However, to ensure requested information is available HUD staffs who routinely respond to customer questions, provide feedback on any frequently requested information that is not already available on HUD's website. HUD has identified the inventory of information priorities and schedules available on:

<http://www.hud.gov/about/inventory.cfm>

This Web Publication Schedule page also provides a link to HUD's Web Manager mailbox and solicits public comments and suggestions. As new information becomes available at HUD that is important to the public, the Department is committed to putting it on HUD's Homes and Community website. HUD's information dissemination products, catalogs, directories, inventories and other management tools are found on HUD.gov [Resources](#), [Contact Us](#), and [HUD User](#) web pages.

8. Provide your agency's FOIA handbook, the link of your agency's FOIA Website, and the website link where frequent requests for records are made available to the public

HUD's FOIA Handbook (<http://www.hud.gov/offices/adm/hudclips/handbooks/ogch/13271/index.cfm>)

HUD's FOIA Website (<http://www.hud.gov/offices/adm/foia/index.cfm>)

HUD's Frequent Requests for Records website (<http://www.hud.gov/offices/adm/foia/frequentrequestedmaterials.cfm>)

9. Describe in brief your agency efforts to comply with Section 508 in regards to information management

HUD has integrated Section 508 standards into its procurement and system development standards. All contracts for the procurement of electronic information processing equipment, commercial off the shelf software (COTS) and information processing services have a clause stating that all appropriate deliverables must be Section 508 compliant. The Department has conducted training for procurement officials, project managers and information technology professionals to assure a complete understanding of the letter and intent of Section 508.

The Section 508 roles and responsibilities of involved personnel have been stressed in instructor-led classes and all class material is available on the Department's intranet site to ensure clear guidance for each key procurement process area (HUD Requiring Officials, the Procurement Office, the Section 508 Coordinator, the Office of Fair Housing and Equal Opportunity, and our Assistive Technology Program). Carrying out the outlined responsibilities ensures that HUD acquires the most compliant EIT.

Additionally, [HUD's web policies](#) state the following:

HUD's websites - including all online applications and work processes - must comply with Section 508 of the Rehabilitation Act of 1973, making content accessible to people with disabilities. Section 508 requires that anyone with disabilities must be able to access and use information and data on a website, comparable to the way people without disabilities can get that information and data, unless it would cause our agency an undue burden.

If you use assistive technology (such as a screen reader, Braille reader, etc.) and have problems accessing information on our website, please [contact us](#) and tell us about your problem. Be sure to include the URL (web address) of the material you tried to access and your contact information. We will try to provide the information you are seeking.

10. Provide a list of you agency's public websites disseminating R&D information to the public, and whether or not each website provides the public information about federally funded R&D activities and/or provides the results of Federal research.

Not Applicable. HUD does not fund research and development (R&D) activities.

11. Provide an inventory of formal agency agreements with external entities complementing your agency's information dissemination program, with a brief explanation of how each agreement improves the access to and dissemination of government information to the public.

Historically, HUD has successfully carried out its mission through our relationships with other federal agencies and various business partners, including nonprofit organizations, state and local governments, housing agencies, authorities, and tribes; community and faith-based organizations, various housing industry groups including lenders, brokers, appraisers, and multifamily developers and owners, health care facilities providers, small businesses; fair housing organizations; and investors. These partnerships have allowed the development of various communication vehicles and channels that increase our ability to deliver information to our customers. Efforts that are resulting in effective communications include:

- **College of Experts Technical Assistance Program:** Through HUD's College of Experts (CoE) contract, grantees may request training or direct technical assistance on Federal grant requirements such as environmental review, Davis-Bacon applicability and compliance, and the use of OMB Circulars and cost principles. Grantees may only request CoE assistance for eligible TCAP projects that already have an investment of HOME funds, or have an executed, legally binding agreement (i.e., a 'commitment' as defined in the HOME regulations at 24 CFR Part 92), with a HOME Participating Jurisdiction (PJ) to receive HOME funds.
- **HUD/DOT/EPA Interagency Partnership on Promoting Sustainable Communities:** Partnership between HUD, DOT, and EPA for creating affordable, sustainable communities, helping American families gain better access to affordable housing, more transportation options, and lower transportation costs while protecting the environment in communities nationwide. This partnership has established six livability principles that will act as a foundation for interagency coordination:
 - 1) Provide more transportation choices.
 - 2) Promote equitable, affordable housing.
 - 3) Enhance economic competitiveness.
 - 4) Support existing communities.
 - 5) Coordinate policies and leverage investment.
 - 6) Value communities and neighborhoods.
- **MakingHomeAffordable.gov:** The U.S. Department of the Treasury and HUD launched the **MakingHomeAffordable.gov** website for consumers seeking information about the Obama Administration's Making Home Affordable loan modification and refinancing program. **MakingHomeAffordable.gov** offers features including interactive self-assessment tools that will empower borrowers to determine if they're eligible to participate and calculate the monthly mortgage payment reductions they could stand to realize under the Making Home Affordable program. Additionally, borrowers are provided resources for finding free, HUD-approved counseling services.
- **Housing Counseling:** HUD is authorized to provide or contract with organizations to provide counseling and advice to tenants and homeowners with respect to property maintenance, financial management and such other matters as may be appropriate to assist them in improving their housing conditions and in meeting the responsibilities of homeownership.
- **Homelessness Resource Exchange (HRE):** HUD's Homelessness Resource Exchange (HRE) is an electronic source of both HUD-sponsored and outside information on homelessness. HRE users will find program guidance and regulations, technical assistance and training resources, as well as research and publications. The data provided is of interest to federal agencies, state and local government agencies, organizations involved in fighting homelessness, and near-homeless or homeless individuals. HRE resources available include information on homeless prevention, accessing housing and services, project development, grant administration, program measurement and design, and homeless subpopulations. One example of the resources available from the HRE is a set of guides for collecting data about the sheltered and unsheltered homeless. The HRE also offers a map to help homeless providers find their local technical assistance organizations, a newsletter, and regular updates on homelessness and available resources.

- **Fair Housing Accessibility FIRST:** Fair Housing Accessibility FIRST is an initiative designed to promote compliance with the Fair Housing Act design and construction requirements. The program offers comprehensive and detailed instruction programs, useful online web resources, and a toll-free information line for technical guidance and support. Fair Housing Accessibility FIRST has been contracted by HUD to provide information, materials, and technical assistance to all relevant stakeholders about the accessibility design and construction requirements of the Fair Housing Act as amended in 1988.

12. Provide an inventory that describes your agency's NARA-approved records schedules or the link to the publicly-posted records schedules, and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02.

HUD NARA-approved Records Schedule can be found in HUD Handbook 2225.6 or on HUDCLIPS at: <http://www.hud.gov/offices/adm/hudclips/handbooks/admh/2225.6/index.cfm>.

HUD's progress in implementing NARA Bulletin 2006-02:

- Of the 33 "Mission Critical" systems:
 - 82% (or 27) Preliminary electronic record schedules have been submitted
 - Of these, 12 are included in Flexible Schedule #21 (in FY 08, HUD submitted flexible Schedule 21 based on NARA guidance (please refer to <http://www.archives.gov/records-mgmt/bulletins/2008/2008-04.html>), which covers the Department's financial electronic systems); and
 - 14 represent individual electronic record schedules that have also been approved by NARA.
 - 18% (or 6) Systems remain for which information is still being gathered in order to submit their electronic record schedule.
- Of the 76 "Major" systems:
 - 91% (or 69) Preliminary electronic record schedules have been submitted
 - Of these, 54 are included in Flexible Schedule #21; and
 - 15 represent individual electronic record Schedules that have also been approved by NARA.
 - .09% (or 7) Systems remain for which information is still being gathered in order to submit their electronic record schedule.

HUD continues to work with appropriate system sponsors to complete electronic record schedules for all active systems.

Section III: Implementation of E-Government Initiatives

1. Describe the initiative, the methodology for identification of the initiative, and how the initiative is transforming agency operations.

Integrated Disbursement and Information System (IDIS) is the primary vehicle for grantee data processing for the Community Development Block Grant Program (CDBG), HOME Investment Partnership Program (HOME), Emergency Shelter Grants (ESG), and Housing Opportunities for People with AIDS (HOPWA) grant programs. IDIS supports more than 1200 state and entitlement grantees participating throughout the United States, Puerto Rico and other insular areas. IDIS is used to initiate activities, request drawdown of grant money, track receipt and use of program income, and report program accomplishments. In an average year IDIS tracks about \$7 billion of monetary transactions.

IDIS additionally allows data processing for the following programs: Community Development Block Grants Recovery (CDBG-R), which includes funds for approximately 1,200 state and local government to invest in their own community development priorities. Most local governments use this investment to rehabilitate affordable housing and improve key public facilities – stabilizing communities and creating jobs locally. The HOME - Tax Credit Assistance Program (TCAP) includes funds invested in a special allocation of HOME funds to accelerate the production and preservation of tens of thousands of units of affordable housing. And the ESG - Homeless Prevention and Rapid Re-Housing Program (HPRP), which includes funds invested in preventing homelessness and enabling the rapid re-housing of homeless families and individuals, helping them reenter the labor market more quickly and preventing the further destabilization of neighborhoods.

IDIS enables HUD grantees, including entitlement communities, urban counties, consortia, insular areas, and states, to request program funds and report on the activities outlined in each jurisdiction's Consolidated Plan. The system facilitates HUD's mission by providing for the grant money disbursements, usage, and accountability and thereby supports HUD's missions of promoting adequate and affordable housing, economic opportunity, and a living environment free from discrimination.

IDIS also provides timely reporting to Congress, local officials, grantees, and the public and facilitates HUD's compliance with the Government Paperwork Elimination Act by eliminating the paper-intensive trail. It facilitates HUD's avoidance of fraud, waste, and abuse and provides significant benefits by supporting HUD's paramount need to support the Business Operating Plan (BOP) and the Department's Annual Performance Report (APR). IDIS improves HUD's management, internal controls and systems, and helps to resolve audit issues. It improves accountability, service delivery, and customer service of HUD and our partners. It also helps to promote program compliance. As the system is accessible from the Internet, IDIS expands HUD's ability to compare actual grantee performance against what had been planned in each grantee's Consolidated Plan. Grantees must enter each and every project and activity into the system for which funds will be spent. They must describe each, enter vouchers to draw funds from their line of credit by activity, and enter accomplishments for each activity. System reports provide grantees and HUD with quick information on the status of funds and each activity. Grantees must identify how much of each type of funding they assign to a specific activity against which draws can be made. Grantees may not fund for more money than they have been awarded by HUD or received in the form of program income, and may not draw down more than they have funded to an activity. IDIS allows grantees to effectively report to HUD in an electronic fashion.

2. Quantify the cost savings and cost avoidance achieved through implementing the initiative.

The system operational expenses have been reduced by about \$400,000 per year, due to moving off mainframe technology, adopting web technology (oracle/java), and tapping into enterprise services such as SiteMinder single sign-on and Microstrategy Business Intelligence. The new technology is very agile, allowing for rapid modification in response to legislative changes. Although hard to quantify in dollars, development time for any given function/enhancement is reduced by an estimated 70% compared to the old COBOL system.

The web-enabled re-engineered IDIS system has embraced the Expanded E-Government initiative by allowing CPD's formula grantees to be able to access IDIS from any browser or operating system that supports 128 bit SSL technology, thus saving time and reducing costs to the federal government. IDIS Online also eased the administrative burden on grantees, meaning they can spend more time actually operating their grants.

3. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative

IDIS complies with 6 Strategic Portfolio Review's (SPR's) initiative-level recommendation categories :

- 1) Align with Existing Segment Architecture Activities: CPD participated in a high level Integrated Project Team (IPT) to yield a high-level solution.
- 2) Participate in New Segment Architecture Activities: CPD expanded its system re-engineering efforts to develop a Government off-the-shelf (GOTS) solution for Grants Management to service all of CPD grant programs in one system. This could be a service center that other agencies could use for grants management. CPD participated in a high level Integrated Project Team (IPT) to yield a high-level solution.
- 3) Participate in CORE IT Service Development Efforts: CPD participated in a high level Integrated Project Team (IPT) to yield a high-level solution.
- 4) Integrate with External E-gov/LOB Initiatives: CPD developed HUD Target Enterprise Architecture XML (Component Framework: Data Exchange/Static Display)
- 5) Align with Target Technical Standards: CPD has used HUD Target Enterprise Architecture J2EE (Service Platform and Infrastructure: Application Servers/Integrated Development Environment (IDE); and Component Framework: Platform Independent/Database Connectivity/Server-Side Display) and Oracle database (Service Platform and Infrastructure: Database; and Component Framework: Database Connectivity).
- 6) Ensure Funding is Spent on Architecturally Aligned Efforts: CPD has developed a system with reusable components and has re-engineered with rules engines to capture 80% of Business Rules of all grant programs using COTS/GOTS packages for report generation, application processing, and controlling business flow. The system is comprised of independent components that can be either custom built or replaced with a COTS/GOTS package.

4. Identify improved performance (e.g., outcome measures, quantifiable business impact) by tracking performance measures support agency objectives and strategic goals.

IDIS is a nationwide database that provides current information on program activities underway across the Nation, including funding data. HUD uses this information to report to Congress and to monitor grantees. IDIS is the draw down and reporting system for the four Office of Community Planning and Development (CPD) formula grant programs: Community Development Block Grants, HOME Program, Emergency Shelter Grants, and Housing Opportunities for Persons with AIDS. Grantees also use IDIS for the Recovery Act Community Development Block Grants, Low-Income Housing Tax Credit and Homeless Prevention and Rapid Re-Housing Programs. The system allows grantees to request their grant funding from HUD and report on what is accomplished with these funds.

HUD relies on IDIS to monitor and review information reported by our grantees on their use of funds for activities that increase economic opportunities, including the number of jobs created and retained, number of jobs with health benefits, and the number of businesses assisted. Through IDIS, HUD is reporting improved performance in the goals related to providing homeownership assistance and strengthening communities by promoting economic development. Specifically, HUD reported the following:

- Provided assistance to 35,610 low-income homebuyers and homeowners through its HOME program;
- Through the CDBG program, HUD provided assistance to an estimated 106,367 households, of which 2,441 households received homeownership assistance, and 103,926 units of owner-occupied rehabilitation were completed;
- The HOME Investment Partnerships program expended an estimated \$763 million on completed rental projects and committed an additional \$62 million to tenant-based rental assistance;
- Through FY 2009, rental units and direct rental assistance accounted for 53 percent of overall HOME funding. The total HOME appropriation in FY 2009 was \$1.825 billion, a seven percent increase over FY 2008; and
- Grantees reported that CDBG assistance assisted in the creation or retention of 21,309 jobs and for the Section 108 loan guarantee program, application commitments reflect that 8,089 jobs will be created. The total number of jobs created or retained as a result of assistance through these two programs is 29,398.

Systemically, IDIS has successfully maintained its availability goal that ensure that our grantees have flexibility for funds draw-downs and reporting and its goal for decreasing the number of manual corrections to grantee data.

5. Explain how this initiative ensures the availability of government information and services for those without access to the Internet and for those with disabilities.

HUD serves millions of low- and moderate-income households, and remains diligent in our efforts to ensure that our information and services are available to everyone. While HUD program information is available on its website, and many of its business transactions are available via the Internet, HUD ensures that information and assistance is available through various mediums, including local, interactive training sessions, various outreach activities, free publications, and over the phone or face-to-face assistance. HUD also ensures that all information and applications are compliant with the accessibility requirements under Section 508 of the Rehabilitation Act.

6. Identify external partners (e.g., Federal, State or local agencies, industry) who collaborate on the initiative.

IDIS is used by three different types of users:

- CPD formula grant program participants located throughout the US
- HUD's Field Offices
- HUD Headquarters staff

Our grantee community consists of State and local governments, as well as charitable and non-profit organizations and institutes of higher learning.

Each CPD Program continually undertakes efforts to improve data collection efforts and ensure data integrity. These efforts include upgrading data reporting systems, having HUD staff verify data and data collection processes when monitoring grantees, establishing and enforcing data reporting requirements, conducting grantee training and meetings focused on data reporting, and undertaking data clean-up efforts. For example, HUD worked with tribal housing representatives to revise the planning and reporting forms that grantees are required to submit annually. Improved forms will collect more information on tribal housing conditions while simplifying the reporting process for grantees.

Additionally, many of our CPD grantees told us that they wanted to "tell their story" to their citizens and other stakeholders about the many positive outcomes of the investments they have made in their communities using federal, state, and local resources. This required the development of an outcome performance measurement system for the various CPD grant programs. This system was developed by a joint working group made up of members of the Council of State Community Development Agencies (COSDA), the National Community Development Association (NCDA), the National Association for County Community Economic Development (NACCED), the National Association of Housing and Redevelopment Officials (NAHRO), the National Council of State Housing Agencies (NCSHA), CPD and HUD's Office of Policy Development and Research (PD&R), and the Office of Management and Budget (OMB). The implementation of the outcome performance measurement system and its use by grantees is enabling HUD to collect information on the outcomes of activities funded with CPD formula grant assistance. This data is entered into IDIS and is aggregated at the national level to provide HUD with the information necessary to show the national results and benefits of the expenditure of federal funds using these four CPD formula grant programs.

HUD actively participates on federal-wide grants initiatives and IDIS has become a critical component of HUD's eGrants strategy.

7. Explain how the project applies effective capital planning and investment control procedures.

HUD's Information Technology Investment Management (ITIM) is a systematic process for managing the risks and returns associated with IT initiatives. ITIM ensures that all IT projects, including IDIS, undergo a continuous, integrated management process focused on achieving desired business outcomes and provides a context for the continuous selection, control, and evaluation of IT initiatives. HUD applies the Select, Control, and Evaluate processes of the ITIM model to plan, manage, fund, control and evaluate its portfolio of IT investments.

HUD implemented the comprehensive ITIM process to ensure that its portfolio of IT projects adequately address HUD's business strategies and are managed to achieve expected benefits in accordance with accurate and complete cost, schedule, technical, and performance baselines. HUD uses the ITIM process not only to manage its IT portfolio, but also as a complement to the budget process, a method for supporting PMA goals, and as a tool for constructing the Department's EA.

8. Describe the established business process your agency has in place for continued ongoing process of identification of initiatives.

An important role of the CIO is to continuously look for and implement eBusiness opportunities. Consequently, the CIO regularly meets with HUD and Federal leadership, HUD constituents, and various industry groups, to look for new opportunities to expand partners and to create new tools to improve the efficiency and effectiveness of HUD's mission.

9. Quantify the cost savings and cost avoidance achieved through implementation of new IT programs.

In recent years, HUD's funding for Information Technology has not been sufficient to make major investments in developing, modernizing and enhancing our information systems. Instead, the Department has had to maintain and operate outdated technology, in some cases, in existence for twenty years or more. Reliance on these legacy systems has prevented the Department from taking full advantage of modern tools to capture, store, share, and disseminate information.

HUD's new strategy to transform and revive HUD and enable the development of next generation information technology systems is identified in the Transformation initiative. The Transformation initiative is expected to help allocate scarce resources in a targeted, timely and effective manner and deliver timely and consistent data on the true costs of programs, the cost effectiveness of alternative strategies, and ultimately do more with less. HUD will also continue to make investments in technology, staffing and training to ensure the safety and soundness of FHA and that it is able to cope with the rising volume of mortgage business, detect fraud and monitor the practices of lenders and appraisers.

The following transformation initiatives have been identified to address the challenges realized from the recent changes in the economy and the housing market.

- Automated Underwriting System (AUS) – Automated underwriting systems evaluate loan application and associated risk data to determine eligibility for a loan. HUD does not currently have an AUS tailored to support its endorsement decisions. Lacking this capability, combined with the current limitations of the TOTAL Scorecard, HUD has gaps in uniformly and adequately assessing risk and adjusting to changing requirements quickly and consistently. The AUS solution would be tailored for the specific processes and algorithms required for Single Family (SF), Multifamily (MF), and Health Care Facilities (HC).
- Automated Valuation Model (AVM) – Primarily a solution required in SF, an AVM service will provide more timely and accurate property valuations using mathematical modeling based on data such as comparable properties, surveyor valuations, historical prices, and other factors.
- Fraud Detection and Risk Management – Critical risk management and early warning tools that support data validation, cross checking, and analysis with information from a variety of public, financial, and third party sources to allow HUD to evaluate loan data for misrepresentations, fraud or potential problems. COTS tools are available that identify potential fraud cases and manage risk at both the loan level and portfolio level. Such systems can be tailored to the needs of each LOB.
- Business Intelligence and Reporting Dashboards – Decision support software that enables improved data

analysis and management reporting. This will be tailored to the specific management needs, processes, and data available within each LOB. This is critical for management and executive visibility into daily operations, and will provide an improved capability to adjust those operations in response to changing market conditions.

- Electronic Application Processing and eMortgage – This will continue HUD’s movement toward electronic submission and processing across all LOBs to reduce or eliminate manual processing. This will streamline processes, reduce paperwork burden, and improve customer service. Within MF and HC, this includes implementing an electronic submission application. Within SF, an eMortgage initiative is a move toward end-to-end electronic processing, allowing automation of much of the review and significantly reducing the need to print, scan images, ship case binders, and perform manual data entry.
- Customer Relationship Management (CRM) and Workflow Management – The implementation of CRM functionality within HUD will enable better data management, customer tracking, partner monitoring, and improved stakeholder relationships. Like the other solutions, each LOB will tailor it to their unique requirements and applications.

10. Describe your efforts to consolidate, or collaborate with other agencies, to reduce the number of Federal data centers.

In January 2005, HUD successfully outsourced its IT infrastructure services through a ten year, performance-based, firm fixed price HUD Information Technology Services (HITS) contract. Under HITS, HUD has one primary data center supporting our business processes and one separate data center for messaging. Efforts to further consolidate or collaborate with other agencies will be researched and considered during the HITS replacement process.

11. Describe the telework program at your agency, including your plans to increase your employees’ ability to use Web 2.0 tools to work-at-a-distance.

[HUD’s telework program](#) is designed to benefit employees, managers, and the community by decreasing work trip vehicle miles, traffic/parking congestion, energy consumption and air pollution; improving the quality of work life and performance; and improving morale by assisting employees in balancing work and family demands. Participation in HUD’s Telework Program is voluntary and HUD’s management determines the appropriateness of an employee’s participation in the Telework Program based on the employee’s readiness for telecommuting and the manager’s determination that the position is one that is suitable for off-site work. To ensure that the employee is available in the office during the week for face-to-face meetings and access to facilities, each telework agreement must provide for a minimum of two days in the office and work at home or in a satellite office on no more than three days a week.

HUD has established Web 2.0 policies and procedures for employees ensure that these tools are used in ways that comply with federal regulations and achieve HUD's mission. Additionally, HUD's teleworking employees are offered two secure methods for remote access to HUD's network and business applications; HUD's virtual private network (VPN) or web-based telework access solution. The latter requires a broadband connection, and uses specialized security software to allow access to HUD networks via the Internet.