

## Section I: Innovation and Transparency

1. Describe your top three E-Government IT accomplishments related to Open Government and innovation from this year. You are encouraged to confer with your Open Government Senior Accountable Official. If you have questions on who is your agency's Senior Accountable Official, please email [opengov@ostp.gov](mailto:opengov@ostp.gov)

1. Published (8) high-value datasets to data.gov:

- Public Housing Physical Inspection Scores - HUD's Real Estate Assessment Center conducts physical inspections of properties that are owned, insured or subsidized by HUD, including public housing and multifamily assisted housing. About 20,000 such inspections are conducted each year to ensure that assisted families have housing that is decent, safe, sanitary and in good repair. The Physical Inspection Scores datasets provide a full historical view of the results of those inspections, providing point-in-time property scores. Results are available for download as a comma-delimited dataset. Separate datasets are available for public housing and for multifamily assisted properties. The results represent the inspections conducted from 2001 through September 2009. The datasets include property identifiers and location information.
- Multifamily Housing Physical Inspection Scores - HUD's Real Estate Assessment Center conducts physical inspections of properties that are owned, insured or subsidized by HUD, including public housing and multifamily assisted housing. About 20,000 such inspections are conducted each year to ensure that assisted families have housing that is decent, safe, sanitary and in good repair. The Physical Inspection Scores datasets provide a full historical view of the results of those inspections, providing point-in-time property scores. Results are available for download as a comma-delimited dataset. Separate datasets are available for public housing and for multifamily assisted properties. The results represent the inspections conducted from 2001 through September 2009. The datasets include property identifiers and location information.
- FHEO Filed Cases - The dataset is a list of all the Title VIII fair housing cases filed by FHEO from 01/01/2006 to the run date including the case number, case name, filing date, state and county of the alleged violation, and the bases for the alleged discriminatory acts. The Federal bases are race, color, national origin, religion, sex, disability, familial status and retaliation for filing a fair housing complaint. Some of the bases have been broken out into more detailed groupings (Race - Asian, etc.) A single case may have multiple bases. The data can be aggregated to the county or state level to show patterns in the quantity and bases of fair housing complaints filed.
- CPD Appropriations - The datasets are the full-year allocations for HUD's Office of Community Planning and Development (CPD) formula programs: Community Development Block Grants (CDBG); HOME Investment Partnerships (HOME), including the American Dream Downpayment Initiative (ADDI); Housing Opportunities for Persons with AIDS (HOPWA); and Emergency Shelter Grants (ESG). HUD's CPD office seeks to develop viable communities by promoting integrated approaches that provide decent housing, a suitable living environment, and expand economic opportunities for low and moderate income persons. The primary means towards this end is the development of partnerships among all levels of government and the private sector, including for-profit and non-profit organizations.
- HUD Geographic Information System (GIS) Boundary Files - The HUD GIS Boundary Files are intended to supplement boundary files available from the U.S. Census Bureau. The files are for community planners interested in working with census tract and block group data that splits by jurisdiction boundaries (summary

levels 080, 090, and 091). The GIS shape files are most helpful when linked with census tract and block group data downloaded from the census standard tabulation data, CDBG low/mod area data (summary level 090), or the CHAS 2000 data (summary levels 080 and 091).

- Public Housing Agency (PHA) Inventory - The dataset contains current data on low rent and Section 8 units in PHA's administered by HUD. The Section 8 Rental Voucher Program increases affordable housing choices for very low-income households by allowing families to choose privately owned rental housing. Through the Section 8 Rental Voucher Program, the administering housing authority issues a voucher to an income-qualified household, which then finds a unit to rent. If the unit meets the Section 8 quality standards, the PHA then pays the landlord the amount equal to the difference between 30 percent of the tenant's adjusted income (or 10 percent of the gross income or the portion of welfare assistance designated for housing) and the PHA-determined payment standard for the area. The rent must be reasonable compared with similar unassisted units.
  - Section Eight Management Assessment Program(SEMAP) Performance - HUD's SEMAP measures the performance of the public housing agencies (PHAs) that administer the housing choice voucher program. SEMAP uses HUD's national database of tenant information and information from audits conducted annually by independent auditors. HUD will annually assign each PHA a rating on each of the 14 indicators and an overall performance rating of high, standard, or troubled. Metropolitan PHAs will also be able to earn bonus points for their achievements in encouraging assisted families to choose housing in low poverty areas.
  - Terminated Multifamily Housing Mortgages - This dataset includes all terminated HUD Multifamily mortgages except those from the Hospital Mortgage Insurance Program. It includes the Holder and Servicer at the time the mortgage was terminated.
2. Reengineer Freedom of Information Act (FOIA) - In 2009 HUD's FOIA process included twenty-three steps, making it difficult to meet the regulatory requirement of responding to requestors within twenty days. The Department initiated a lean six FOIA business improvement assessment that resulted in the elimination of eleven process steps. The reengineered process is currently in pilot with national implementation expected before the end of the year. Additionally, a new information system will be deployed to support the reengineered FOIA process.
  3. Flagship Initiative - HUD began a comprehensive program dedicated to identifying and updating outdated policies, regulations, and practices that no longer bring mission value and that are needlessly hindering the Department's performance. An internal "burdensome rules" exercise was conducted with HUD headquarters and field offices that resulted in the identification of over twenty rules / policies / regulations targeted for elimination. Phase two of this initiative will engage the public in the identification process.

These accomplishments have contributed to greater transparency and collaboration, critical tenets of the administration's Open Government initiative.

## Section II: Compliance with Goals and Provisions of the Act

### 1. Your agency's Information Resources Management (IRM) Strategic Plan and Enterprise Architecture (EA) Plan.

The HUD's Enterprise Modernization Plan (Transition Strategy) is a business-driven plan that describes the desired current state and future state for HUD's performance, business, applications and services, technology, data, and security architectures. It provides a set of practical business tools to guide HUD modernization and is supplemented by specific Business and IT modernization plans. Its structure mirrors HUD's target architecture and provides a sequence of milestones towards achieving the target architecture.

### 2. For each E-Gov initiative, provide 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://portal.hud.gov/portal/page/portal/HUD/about/inventory>

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.

### 3. Identify improved performance (e.g., outcome measures) by tracking performance measures supporting agency objectives and strategic goals.

HUD is transitioning to a new performance management structure with the developing of the FY 2011 Management Action Plan (MAP) and individual performance plans. The MAP is designed to identify cross cutting and programmatic targets and activities carried out through a place based delivery system; focus on both program and place based decision making; guide the work activities of all HUD staff in headquarters and the field; and ensure that HUD achieves the Department's strategic goals and objectives.

### 4. Your agency's FOIA handbook, the URL of your agency's primary FOIA Web site, and the URL where frequent requests for records are made available to the public.

The Department's FOIA handbook, primary FOIA website and frequently requested records are made public on the following website:

FOIA Website [http://portal.hud.gov/portal/page/portal/HUD/program\\_offices/administration/foia](http://portal.hud.gov/portal/page/portal/HUD/program_offices/administration/foia)  
FOIA Handbook <http://www.hud.gov/offices/adm/hudclips/handbooks/ogch/13271/index.cfm>

FOIA Reference Material <http://www.hud.gov/offices/adm/foia/referencematerials.cfm>

5. A list of your agency's public Web sites disseminating research and development (R&D) information to the public, describing for each whether the 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.

6. An inventory describing formal agency agreements (e.g., contracts, memorandum of understanding) with external entities (e.g., partnerships with State and local governments, public libraries, industry and commercial search engines) complementing your agency's information dissemination program, briefly explaining how each agreement improves the access to and dissemination of government information to the public.

Agreements either between or among federal agencies, or between federal agency and state or local governmental agencies or nongovernmental entities, go by many names, for example, memorandum of agreement, memorandum of understanding, interagency agreements, and intergovernmental agreement.

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:

- **GovBenefits.gov:** GovBenefits.gov provides a single point of access for citizens to locate information and determine potential eligibility for government benefits and services.

<http://www.benefits.gov>

- **Disaster Assistance Improvement Plan (DAIP):** The Disaster Assistance Improvement Plan (DAIP) implemented DisasterAssistance.gov to improve the delivery of disaster assistance all across federal government. The initiative includes member agencies that have active disaster assistance programs as well as those that do not

[http://www.disasterassistance.gov/daip\\_en.portal](http://www.disasterassistance.gov/daip_en.portal)

- **eRulemaking.gov:** E-Rulemaking provides citizens a single access point to view and comment on rules and notices. Regulations.gov provides the public Internet access to view download, and submit comments on all Federal rulemakings.

<http://www.regulations.gov/search/Regs/home.html#home>

- **Grants.gov:** Grants.gov enables Federal agencies to publish grant funding opportunities and application packages online while allowing the grant community to search for opportunities and download, complete, and electronically submit applications. By using Grants.gov, HUD was able to receive and review applications for funding through a single interface.

<http://grants.gov/>

7. An inventory that describes your agency's NARA-approved records schedules(s) or the link to the publicly-posted records schedules(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02. For the brief explanation, please report the number of systems for which a record schedule was submitted to NARA in FY 2010 and the number of systems still requiring records schedules.

HUD public website to HUD Records Disposition Schedules can be found at:

[http://portal.hud.gov/portal/page/portal/HUD/program\\_offices/administration/hudclips/handbooks/admh/2225.6](http://portal.hud.gov/portal/page/portal/HUD/program_offices/administration/hudclips/handbooks/admh/2225.6)

The public website to HUD Records Control Schedules can be found at:

<http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-housing-and-urban-development/rg-0207>

In compliance with NARA Bulletin 2006-2, 90% (69 systems) of HUDs electronic information systems have been approved by NARA. No electronic information schedule was submitted to NARA in FY 2010. 7 electronic information systems are pending approved record schedules.

Also note that HUDs Records Management Office resides in the Office of the Chief Human Capital Officer (OCHCO), formally known as Office of Administration.

8. Describe how your agency has implemented use of electronic signatures for appropriately secure electronic transactions with Government and established a framework to allow efficient interoperability.

HUD has made significant process with regard to the implementation of electronic signature. HUD's framework to allow interoperability for secure electronic transactions incorporates the components of e-authentication and electronic signature. HUD's commitment to the E-authentication Initiative and the progress made to establish the foundational component of e-authentication positions HUD to begin the planning and implementation of electronic signature. E-authentication is imperative to securing the information assets of HUD. Securing an inventory of applications in use across the HUD enterprise is important to the planning of electronic signature integration within the HUD target application architecture which HUD has accomplished. HUD has developed an authoritative source enterprise wide application inventory and has incorporated the maintenance of that inventory into the IT strategic and operational processes. HUD has issued FIPS 201 Personal Identity Verification (PIV) cards with digital signature certificates to a large percentage of HUD employees. With the maintained application inventory coupled with the digital signature certificates, HUD is well positioned to utilize electronic signature for secure electronic transactions and applications within the planning process such as the HUD Integrated Acquisitions Management System (HIAMS) which can be planned and implemented using this technology. Within the HUD infrastructure, other candidate applications could benefit from the efficiencies of electronic signature technology.

9. Describe how your agency has enhanced public participation in Government by electronic means for development and issuance of regulations. (Ex: regulations.gov)

HUD has continued to support the effort to create and support the Regulations.gov, the government-wide website that provides the public a portal to access and participate in the HUD rulemaking process. HUD has participated in this effort since the inception of Regulation.gov in 2002. Since that time, HUD has posted all of its documents requesting public comment (e.g., proposed and interim rules) on Regulations.gov. In addition, HUD includes language in all documents published in the Federal Register alerting the public to Regulations.gov as the preferred method of submitting comments. During the last fiscal year, HUD has received over 20,000 public comments through Regulations.gov. In addition, HUD has actively served on the Executive Board overseeing Regulation.gov and on its various task groups.

10. Describe your agency has linked performance goals to key stakeholders, private sector, other agencies, and internal operations in delivering information and services through use of IT.

The OCIO has recently undertaken an exercise that has thoroughly analyzed the direct linkage between the products and services performed by the Office of the Chief Information to each of the five strategic goals of HUD Strategic Plan for FY 2010 - FY 2015. This cascading goal exercise focuses on the key stakeholders and the internal operations for delivering information and services through the use of IT. The OCIO does not have a direct relationship with the activities of the private sector.

11. Describe how your agency has reduced errors through use of electronic submissions.

One of HUD's most important efforts to improve data quality, and one of the vital components of the overall modernization of its OCIO, is the professionalization and standardization of its investment management processes. This effort has been made possible through Transformation Initiative (TI) funds. The TI is an effort that set aside 1% of the Department's annual operating budget for investments that improve IT capabilities, and address critical Department priorities. TI funding has helped to ensure that all of the Department's IT investments receive a consistent, modern, and effective management and oversight approach, and are in full alignment with the Department's strategic goals and strategic plan. As part of this process of standardization, all of the Department's investments will soon be tracked and reported in an Enterprise Sequencing Plan that shows dependencies such as schedule intersections and interactions between different systems. This sequencing plan will produce consistent and transparent architectural documentation and will be implemented on a rolling basis starting in the 4<sup>th</sup> quarter of 2010 and ending in the 1<sup>st</sup> quarter of 2011.

For the past several months, HUD has proactively collaborated with the Office of Management and Budget (OMB) to submit data to the updated Federal IT Dashboard and subsequently ensure its accuracy, reliability, and timeliness. HUD has already made the details of its 13 major investments available on the dashboard, along with links to detailed financial information, Exhibit 300s, and other relevant data. Over the coming months, HUD plans to continue its efforts to improve transparency and make the details of more of its IT investments publicly available. HUD is fully committed to the principles of Open Government and recognizes the importance of not simply submitting data to the IT dashboard but of ensuring the quality and reliability of that data. Ranked among the best plans, HUD's Open Government plan was received favorably throughout the government and among numerous watchdog groups. Active collaboration with OMB has already revealed certain deficiencies that need to be rectified and yielded a number of lessons learned that will be useful in moving forward. These lessons include using existing data sources for more timely and rigorous analysis to support program area decision making. These lessons learned have helped HUD target the specific modernizations that are necessary to provide timely and relevant data to the public.

HUD has been a leader in Open Government and is committed to making its operations more transparent and

intelligible to the American people. While aware that challenges lie ahead, the Department is proud of its efforts to modernize its IT investment management processes and its work with OMB in releasing investment data and proactively addressing data quality issues. We stand committed to continuing to modernize our practices and to fully implement our planned controls that will better ensure data quality for the Federal IT Dashboard.

**12. Briefly describe your agency efforts to comply with Section 508.**

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.

**13. Quantify the cost savings and cost avoidance achieved through implementation of IT programs.**

The issue here is that HUD has not yet implemented any of the TI IT programs. They are only in the early planning stages. Therefore there have been no cost savings to date.