HUD Records Program

Program Offices Records Management Program Assessment

Program Office	
Records Management Liaison Officer	
Alternate RMLO	
Date of Program Assessment	

Assignment of Records Management Duties (36 CFR 1220.34)

1. Has your office formally designated you as the Records Management Liaison Officer (RMLO) with responsibility for carrying out a records management program as stated in RM Handbook 2228.1?

     a. Yes or *No*
     b. If yes, how long have you had this responsibility?_____
     c. If no, how long have you had this responsibility? _____
     d. Do you have access to the Archives and Records Centers Information System (ARCIS)? *Yes* or *No*

2. Does your Program Office have a records management policy in place that defines the role and responsibilities of the RMC and the scope of the records management program according to

     i. Yes or *No*
     ii. If yes, please provide a copy of this policy.
    a. If yes, does it provide authority to the RMC to conduct an effective records management program?
     i. *Yes* or *No*

3. Have you been assigned Records Custodians (RCs) in your various offices as stated in RM Handbook 2228.1? *Yes* or *No*

    a. If yes, please provide the names of these RC's.

4. Do you formally assess your organization records disposition activities and brief senior officials?

    a. *Yes* or *No*

Records Management Program Activities (36 CFR 1220.34 (h) & (36 CFR 1222)

1. Do you have a current organization chart for your Program Offices?
  a. *Yes* or *No*
  b. If yes, please provide your organization charts.

2. When was the last time a records inventory was conducted for your program areas?

3. Do you annually review your program areas records schedule?
  a. *Yes* or *No*
      i. If yes, please provide the records schedules for your program areas.

4. Have you identified your permanent records? *Yes* or *No*
  a. If yes, please provide the list of these permanent records and which program offices are responsible.

5. Do your program offices have a detail plan in place to move from paper records to electronic records?
  a. *Yes* or *No*
      i. If yes, please provide a copy of this plan.

6. Does your office have a basic records and information management policy?
  a. *Yes* or *No*
      i. If yes, please provide
  b. Does this policy apply to all the program office business process? *Yes* or *No*
  c. Is this policy used by management and staff? *Yes* or *No*

7. Is access to all records, regardless of media, limited to authorized personnel? *Yes* or *No*

8. Are cutoffs (file breaks) clearly defined and implemented for each records series? *Yes* or *No*

9. Are permanent records identified and maintained separately from temporary records?
  a. *Yes* or *No*

10. Do your office's records repository have security measures and access protocols that protect records that deal with confidential business information, Privacy Act, and other restricted records? *Yes* or *No*

Contracts (36 CFR 1222.32)

1. Do contracts identify that contractor-created content are Federal records?
   a. *Yes*   or *No*
2. Does the office provide contractors with the regulations and procedures governing Federal records?
   a. *Yes*   or *No*
      i. If yes, please provide
3. When electronic records are involved, does the contract specify the delivery of background data that may have further value to HUD, in addition to the maintained data in a format that is compatible with program records maintenance and retention guidelines?
   a. *Yes*   or *No*
4. Do contracts involving development of electronic systems specify the delivery of systems documentation to HUD along with the final product?
   a. *Yes*   or *No*

Essential Records (Vital) (36 CFR 1222.3)

1. Does your Program Office have an Essential Records Program in place and policies to address this program?
   a. *Yes*   or *No*
      i. If yes, please provide a copy of this policy.
2. Has your program office identified its Essential records?
   a. *Yes*   or *No*
      i. If yes, what category does it falls up under (select all that apply):
         - Emergency Records
         - Legal Records
         - Financial Rights Records
3. Has the office assessed potential risks to their Essential records?
   a. *Yes*   or *No*
4. Has your Program Office identified its Mission Essential Functions (MEF)
   a. *Yes*   or *No*
      i. If yes, please provide a list of these MEF's.
5. Has your office preformed a Business Process Analysis (BPA) for these MEF's?
   a. *Yes*   or *No*
      i. If yes, please provide BPA.
6. Has a Business Impact Analysis (BIA) been performed on these for MEF's?
   a. *Yes*   or *No*
      i. If yes, please provide BIA.

Disaster Response Recovery (Presidential Policy Directive 8 &National Disaster Recovery Framework)

1. Has your Program Office identified its Disaster Response Recovery (DRR) records? a. *Yes* or *No*
     i. If yes, please provide
2. Who is your Program Office DRR point of contact?

Controlled Unclassified Information (CUI) (Executive Order 13556 & 32 CFR 2002)

1. Has your Program Office identified its Controlled Unclassified Information (CUI) records?
   a. *Yes* or *No*
        i. If yes, what categories of CUI do these records series fall under?
        ii. Please provide

Electronic Records (36 CFR 1220.34 (I) & 36 CFR 1236)

1. What Electronic Information System(s) (EIS) are your records stored in?

   a. Please provide list.

2. Does these EIS's have a records management Standard Operating Procedure (SOP) detailing how records are maintained?
   a. *Yes* or *No*
        i. If yes, please provide copies of SOPs
3. Are any of these EIS's used to process Freedom of Information Acts (FOIA)?
   a. *Yes* or *No*
        i. If yes, please provide the EIS name and Program Offices which maintain the system(s).
4. Does any of these EIS's contain Essential Records?
   a. *Yes* or *No*
        i. If yes, please provide EIS name and Program Offices which maintain the system(s).
5. Does any of these EIS's contain Controlled Unclassified Information (CUI)?
   a. *Yes* or *No*
        i. If yes, please provide EIS name and Program Offices which maintain the system(s).
6. Does any of these EIS's contained Disaster Response Recovery (DRR) records?
   a. *Yes* or *No*
        i. If yes, please provide EIS name and Program Offices which maintain the system(s).