2016
Open Government Plan

U.S. Department of Housing and Urban Development

Transparency   Participation   Collaboration

Contents

1. Introduction and Summary

1.1 An Overview of the 2014 Open Government Plan and Achievements

The Department of Housing and Urban Development (HUD) has made great progress on open government initiatives that support HUD's Strategic Plan, to create strong, sustainable, inclusive communities and quality affordable homes for all. The 2014 Open Government Plan focused on improving operations and transparency to better collaborate with partners and provide opportunities for public participation. The plan set forth a vision to use new tools and technology to improve outcomes for HUD programs. It focused on both, innovative linkages within HUD programs to open data and digitally link and share information with external partners and the public. Relying on a smarter enterprise-wide information technology approach, HUD now strives to further inform business policies and procedures with increased openness.

The 2016 Open Government Plan builds on progress and successes to date related to transparency, collaboration, and participation that aligns with HUD's mission and Strategic Plan. HUD made significant progress with transparency through increased public access to HUD's operational points of contacts, policy and research, and numerous machine-readable data sets were streamed through portals, like HUD Exchange and HUDUser. Digital applications now enable users of the HUD Resource Locator[1] to reach their local contacts at Public Housing Authorities (PHAs), help with information and clarify business regulations and policies. These efforts make field operations designed to serve the public and stakeholders more effective.

Public participation increased openness by providing opportunities for program staff, partners, and stakeholders to interact with those we serve. Innovation and ideation for all initiatives has been streamlined using an active digital interface Switchboard. The Switchboard elicits operational feedback from citizens, stakeholders, and HUD program offices nationwide to inform the Strategic Plan and innovative operational solutions. The Hurricane Sandy Rebuild Design challenge is a successful example of producing operational solutions through extensive public participation. To further openness in the work environment HUD has instituted policies for using social media channels such as Twitter, Facebook, HUDdle (see definition on page 17), YouTube, and Instagram etc.[2]

Collaboration initiatives grew and emphasized outreach to other federal agencies, state and community level partners as data sharing expanded. The agency implemented an enterprise information technology approach to use shared services, common platforms and environments for programs working closely with other federal agencies. Building on President Obama's **agenda** to expand broadband access across the country, HUD created the **ConnectHome** demonstration program- a public-private collaboration to narrow the digital divide in 27 communities and one tribal nation. HUD collaborated with numerous federal agencies to implement its major Promise Zones initiative[3]. This helped foster 21st century

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[1] https://resources.hud.gov/

[2] http://hudatwork.hud.gov/HUD/pa/doc/socialmediapolicy2016

[3] http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/economicdevelopment/programs/pz

technologies and data-linkages (e.g. Department of Commerce, Census Bureau and geographical databases) as digital innovations evolved from community, state, federal, and business level partnerships. To assess quality of HUD data and its impact, jointly with business partners like Zillow and Socrata, HUD participated with the Departments of Commerce and Transportation in an event hosted by Zillow and the University of Washington. The event was followed up with an Open Gov Tech Expo hosted by HUD. This shared data for government wide applications will assist to serve communities and future housing developments. Such initiatives have allowed HUD to forge broader partnerships with federal agencies.

1.2 Major Initiatives 2014

There were four flagship initiatives outlined in the 2014 Open Government Plan. The four initiatives were: an **innovation lab** to fuel programs and support area performance; empowering communities to **combat homelessness** using predictive analytics; building a business **practice exchange for assisted housing providers** to share ideas; and identify and update outdated **policies and practices**. The four flagship initiatives were all implemented somewhat differently.

The goal of the **innovation lab** was to help break through bureaucracy and turn ideas into action. The Switchboard (see below) addressed organizational aspects. However, innovating novel tools for HUD's mission and to use 21st century digital platforms to better serve Americans, is still being addressed gradually by enhancing open data, digital, and agile development strategies. Initially, HUD streamlined web-based platforms to effectively draw data from an evolving Enterprise Data Warehouse (EDW). To ensure quality delivery of open data program offices worked closely with the Data Stewards Advisory Group (DSAG). The DSAG assists to select and prepare data assets for public use by simplifying storage needs and reducing license costs while improving tools and processes to use the data directly from HUD's websites. The EDW project will gradually move all of our data marts from their current environments and licensing to the Cloud and to open source software.

The **combat homelessness** initiative was completed in collaboration with the Department of Veterans Affairs (VA) as the Homelessness Analytics Initiative. It provides users with access to national, state, and local information to empower communities, organizations, and individuals with critical information related to homelessness. Information is used to plan and allocate resources, and effectively coordinate efforts by linking with other national, state, and community-level data sources. Additional work is now planned under the 2016 flagship initiative with Hewlett Packard and Virginia Tech's Center for Business Intelligence and Analytics on effectively using data from Homeless Management Information Systems.

The **practices exchange for assisted housing providers'** initiative was successfully completed by creating two portals to facilitate exchanges of best practices: HUDExchange, which provides grantees and other stakeholders with HUD program information and HUDUser, which provides policy and research data to inform the public. Based on these HUD worked with the National League of Cities in a "participatory budgeting" project for three cities[4] - Chicago, New York and Vallejo and brought together subject matter

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[4] https://www.whitehouse.gov/blog/2014/06/02/promoting-innovation-civic-engagement-celebrating-community-led-participatory-budget

experts to create tools and best practices that communities could use to implement participatory budgeting. This raised awareness of civic participation and public accountability while improving effectiveness of government and empowering citizens to participate in financial governance decisions. This initiative was so successful that it will continue as a flagship initiative under the 2016 Open Government Plan.

The White House Office of Science and Technology (OSTP) convened a daylong workshop to share information and practices, encouraging collaboration under the "Opportunity Project".[5] Data from a new mapping tool created by HUD was shared as a resource for communities to help make more informed, data-driven investments that expand access to opportunity and reduce segregation, fulfilling long-standing obligations under the Fair Housing Act. The data also includes: publicly available data generated primarily by the American Community Survey from the US Census Bureau, and open data from the Departments of Health and Human Services, Education, Commerce, and Agriculture; and local datasets from eight cities, with information on community assets such as playgrounds, grocery stores, and health clinics. Cities include Baltimore; Detroit, Kansas City (Missouri), New Orleans, New York, Philadelphia, San Francisco, and Washington, D.C. (See 2016 flagship initiative that connects HUD Section 3 opportunities and proposes using similar data-linkages with the HUD Resource Locator.)

The **policies and practices** initiative aimed for HUD to collaborate bilaterally with customers and stakeholders while identifying updates to HUD business policies and practices. The Switchboard that HUD developed helps the agency to improve its processes, programs, and administration. HUD officials consider these ideas for potential implementation. A charter was established to guide the implementation strategy. It describes the structure, roles, and responsibilities of each official involved in reviewing and responding to ideas submitted. The charter names liaisons for program offices throughout HUD responsible for reviewing submissions elevated to the Secretary and to respond to ideas that fall within their programmatic jurisdiction. In addition, the Policy and Development Research (PD&R) Office streamlined operations of HUDUser[6], a portal that now enables scholars, academicians, institutional partners, and practitioners to formally enter into an exchange to inform HUD policy-makers of new developments or ideas on the ground.

1.3 Past Open Government Efforts

When Secretary Castro came to HUD in 2014, he labeled the agency the "Department of Opportunity," recognizing how the power of stable housing, when paired with supportive services, could change the lives of families. More participatory and collaborative solutions were called for informing communities and eliciting on-ground experiences to help establish policies that more directly created and provided opportunities. HUD expanded partnerships with federal agencies to jointly expand comprehensive place-based strategies and decisively targeted technical assistance in Promise Zones. Programs like Opening Doors (for the homeless) rapidly tested, strengthened and increased collaborations not only within HUD's public housing assistance programs but also with other federal agencies linking operations with

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[5] [https://www.whitehouse.gov/the-press-office/2016/03/07/fact-sheet-white-house-launches-opportunity-project-utilizing-open-data]

[6] https://www.huduser.gov/portal/home.html

Continuum of Care communities (CoCs). This initiative is being strengthened through a flagship initiative proposed under this plan [See page 23]. Using shared data and linkages for HUD programs with Department of Commerce, Census Bureau and other federal/public partnerships under the White House Opportunity Project, numerous initiatives can inform those delivering assistance on the ground. Field offices can now better inform participants of HUD activities, programs and local initiatives in each Congressional district. Larger programs like Promise Zones can now consolidate and streamline location-based HUD information on the web to be shared with their partners in the field.

Under the new Affirmatively Furthering Fair Housing (AFFH) Rule, HUD program participants, including state, local governments and PHAs have an obligation to conduct and submit to HUD an Assessment of Fair Housing (AFH). To assist program participants in meeting their statutory obligation to affirmatively further fair housing, HUD has taken a more active role by providing a robust data set and mapping tool to help them identify conditions in their communities that impact fair housing choice and access to opportunity. By making standardized data on fair housing issues open and accessible, HUD is enabling grantees, fair housing advocates, and citizens to engage in a meaningful and honest dialogue about the fair housing barriers that communities face and set goals for how to overcome these challenges. In December 2015, HUD released the first public iteration of the AFFH Data and Mapping Tool (AFFHT) that supports the local government AFH requirements. The next iteration of the AFFFHT, targeted for release in April, 2017, will provide support for PHAs. A beta release for state requirements is expected later in 2017. HUD will continue to make the raw AFFH data set available for download in open format and via application program interfaces (APIs). The AFFH data set will also be registered at www.data.gov for ease of discovery.

Everyone who uses a smartphone today is a user of Geographic Information System (GIS) Technology, now being used to help manage programs for community development, grants, strategic funding decisions, mapping tools and consolidated planning templates, etc. HUD's Enterprise GIS storefront now enables HUD information to be used nationwide. Similar to the HUDUser portal, where this geographic information resides, the HUDExchange also contains community development and housing assistance programs and their management tools and best practices.

The agency makes information regarding Notices of Funding Availability (NOFAs), acquisitions, program regulations, training, coaching, and problem-solving webinars accessible for a multitude of HUD assistance programs on our multimedia communication channels. Website visitors can easily access information videos, other social media libraries and general information on HUD at the main public portal as well as other websites referenced under the discussion on websites in the Plan sections that follow.

1.4 Major Initiatives 2016

The planned open government initiatives continue steps towards a bold journey that the President has set the Nation on solving inequality as the "defining challenge of our time." And as Secretary Castro parsed elements of this agenda for HUD[7]: "lift up communities and boost upward mobility.... break through the silos of bureaucracy with a holistic approach… provide low-income families with greater mobility …and reinvest in older, distressed neighborhoods…and measure outcomes". HUD's mission is

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[7] Secretary Julian Castro's Speech at the "Reimagining Cities Conference," Austin, TX September 2015.

best served by openness in helping to break down barriers holding individuals down and providing every person with an equal opportunity. This plan therefore builds on past initiatives to further level the playing field for all to connect with opportunities near their homes. It builds on successes with past collaboration efforts addressing homelessness and openness with participatory budgeting. It also proposes new ones using innovative techniques to draw upon ideas and knowledge we do not currently have from partners.

1.4.1 Office of Special Needs Assistance Programs (SNAPS) and Virginia Tech Capstone

The agency has collaborated with the Veterans Administration and the National Alliance for Homelessness to empower communities, organizations, and individuals with critical information on trends in homelessness, related factors, and services that help prevent homelessness and or provide assistance. Numerous web-based exchanges and data banks now provide discrete and diverse data related specifically to different demographic characteristics of homelessness in different geographies. Although all CoC reporting areas were using their own homelessness management information systems to track data, some standardization and harmonization in the data for more meaningful analytics is needed. This initiative, by SNAPS will allow students at the Center for Business Intelligence and Analytics at Virginia Tech to work with Hewlett-Packard systems designers and help ensure data for ranking homelessness projects from different CoC areas would also support a fairer basis for allocating funds nationally.

1.4.2 Participatory Budgeting

HUD and OSTP collaborated to develop a Participatory Budgeting page for grantees to raise awareness about the process and the ability of grantees to use participatory budgeting as a community engagement process. This brought openness and transparency on the ground in communities considering prioritized use and allocation of federal funds. Given its success with the holistic approach working at the community level, the *Final Self-Assessment Report for the Second Open Government National Action Plan 2013-2015* recommended this project to continue developing and sharing toolkits and other resources. This is particularly important for communities facing chronic economic challenges. It is expected that this will also anchor all future HUD open government initiatives as it successfully links community information with HUD both internally and externally.

1.4.3 Utility Benchmarking for HUD Supported Housing Stock

HUD's project-based affordable housing stock is comprised of 2.5 million housing units nationwide and relies on $4.0 billion per year in utility subsidies. Like most owners and managers of large real estate portfolios, HUD and its housing provider partners have perennially struggled to answer basic questions about the energy and water performance of the affordable housing stock, as well as the effectiveness of interventions made to improve it. HUD's new utility benchmarking initiative will change that, unleashing robust data to help housing providers and HUD staff alike make informed decisions about asset management and policy development. New reporting requirements will be paired with substantial support for housing providers in the form of technical assistance, software development, utility partnerships, and stakeholder engagement. HUD is advancing this work through deep collaboration with

the U.S. Department of Energy and the U.S. Environmental Protection Agency, amongst others, and the initiative is being guided by public comment and designed for data transparency.

1.4.4 Section 3 Data Linkages with HUD Resource Locator

HUD is required by law (Section 3 of the HUD Act) to ensure that employment, training, and contracting generated by certain HUD financial assistance shall, to the greatest extent feasible, and consistent with existing federal, state and local laws, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to businesses that provide economic opportunities. HUD works with the Small Business Administration (SBA) to help direct work to businesses that provide economic opportunities using their BusinessUSA web and apps interfaces. This initiative plans to integrate the SBA and HUD data, geographically, using the HUD Resource Locator platform. This will inform businesses as well eligible assisted housing residents of job opportunities related to all housing assistance.

NEW AND EXPANDED INITIATIVES

As described in the following sections, HUD's open data and digital strategies aim to build on information exchange that has been going well, and improve enterprise data that is less useful at present due to quality, frequency, cadence, and currency issues. All these are intended to improve transparency and enable proper measurement of results and outcomes of our programs and financial outlays.
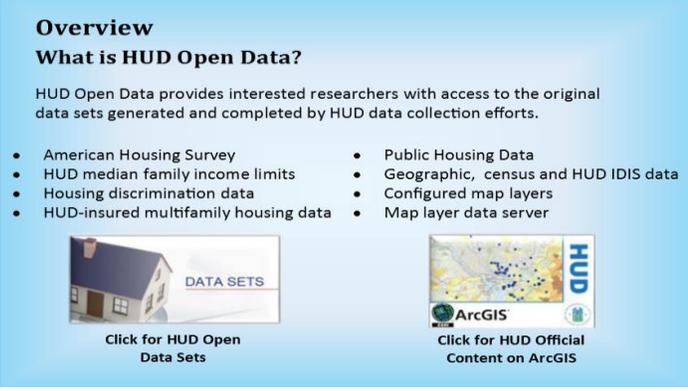
On open innovations, websites, collaboration, and participation details how community development grantees can be involved and assist in making smarter, strategic funding decisions, using consolidated plans, mapping tools, and templates to help them assess their needs in the context of other HUD investments.

These new and expanded initiatives help build on the prior initiatives that were discussed above, and detailed after a short discussion on ongoing initiatives as described later. Other sections such as privacy, whistleblower protection, and proactive disclosures ensure mechanisms are in place for the free and open bilateral exchange of information that does not compromise the level playing field for all to take advantage of federal assistance programs, and thereby instill the important sense of openness in our mission.

2. Open Data

In accordance with the Federal Open Data Policy, HUD has taken measures to improve the management and accessibility of data to support its mission; properly safeguard systems and personal information; and increase public access to valuable agency information. Facilitating greater access to data is a primary agency goal. Making data on the portal available for use by the public helps ensure the Department is increasingly accountable and accessible to those it serves.

Currently, more than 700 machine-readable datasets are available on HUD's Open Data Web Services portal. The Open Data Portal provides a web-based access to datasets from program offices throughout the Department. The Portal is a core component of the agency's data efforts and approach to storing and publishing data in a searchable customer friendly manner.

The Department is working to establish a continuous process for identifying and adding new data assets to its inventory, enriching the description of those data assets through improved metadata, and securing data that is shared with other agencies and the public to further HUD's mission.

The Office of the Chief Information Officer (OCIO) and HUD's program office representatives continue to work closely with the DSAG to ensure current published datasets reflect the most current and accurate information as possible. In addition, this group will identify, select and prepare data assets for public use. To mature and grow HUD's Open Data program the OCIO and DSAG continue to coordinate planning across the agency to facilitate electronic access to agency data. The objectives are to:

- Identify key resources in OCIO such as a Data Architect and Data Modelers to work directly the Data Stewards to provide insight into the classification, availability, accuracy and integrity of published datasets.
- Establish Open Data Policy in accordance with federal statutes and executive orders that ensure personal identifiable information is not included in any published data.
- Establish processes and procedures for the management of data, including open data or specific datasets. This includes tracking published dataset to determine the accessibility and numbers of hits within a specified period.
- Compile and publish a forward-looking pipeline of upcoming data releases and updates.
- Initiate an internal clearance process to conduct privacy, legal and security review and analysis.

- Develop and employ technical mechanisms to leverage new technology and tools for extracting, transforming and loading datasets to the websites. This includes the use of APIs, which allows the public access to HUD's open data. This helps them to build their own programs and applications using published datasets.
- Continue to research opportunities to engage the public to solve problems around housing by hosting, and or participating in Hackathons/DataJams, like the Zillow/Socrata in Seattle, Washington.
- Continue to develop tools that can solve housing challenges with the use of innovative technology solutions, making data accessible and through collaborations with the Department of Commerce, Transportation and other local entities.

3. Proactive Disclosures

HUD is fully committed to proactively disclosing information, consistent with the President's and the Attorney General's instruction to achieve "an unprecedented level of openness." Plans include taking steps to proactively disclose information to advance transparency, accountability, and the presumption of openness. This includes having systems in place to identify records for proactive disclosures. For example, when records are received from program areas, HUD Freedom of Information Act (FOIA) office staff are tasked with reviewing records and working with management, program, and legal staff for posting to HUD's website.

The following information is posted on HUD FOIA Reading Room

- Final Opinions and Orders

- Data.gov, which provides public access to high value, machine readable datasets

- Statements of Policy and Interpretations

- Administrative Staff Manuals

- Frequently Requested Materials

- HUD's online library

- Fair Housing Information

In addition, HUD also makes frequently requested materials available to the public. An index is posted, which includes information such as the Highest Scoring Funding Grant Applications, Purchase Charge Cardholders, Federal Housing Administration (FHA) Refunds, FHA Approved Lenders, FOIA Log Reports, Homes for Sale, How to Buy a HUD Home, and How to Apply for Public Housing and Section 8.

4. Privacy

The HUD Office of the Executive Secretariat (OES), Privacy Branch accesses and manages privacy risks in accordance with the Privacy Act, the Paperwork Reduction Act (PRA), the E-Government Act of 2002 (eGov), the Federal Information Security Management Act (FISMA), and other applicable privacy laws, policies and guidance. The Executive Secretary, who is also the Deputy Chief Administrative Officer serves as HUD's Senior Agency Official for Privacy.

HUD's privacy programs and policies are founded on the Fair Information Practice Principles (FIPPs). The eight principles transparency, individual participation, purpose specification, data minimization, use limitation, data quality and integrity, and security are the widely accepted framework for identifying, assessing, and mitigating privacy risks in government programs and operations. HUD has adopted these principles as the basis for its privacy initiatives, and seeks to apply them to the full breadth and diversity of its programs and activities.

Accordingly, HUD is committed to transparency and individual participation as the foundation of its policies, procedures, and activities. HUD collects personally identifiable information (PII) from employees, contractors, visitors to HUD locations, and individuals requesting services and benefits administered by HUD. HUD systems and programs that collect or maintain such PII are required to publish System of Record Notices (SORNs) and Privacy Impact Assessments (PIAs). These documents, as well as other privacy-related materials, are posted on HUD's website below:

- **HUD Website Privacy Policy**
- **Privacy Impact Assessments (PIAs**)
- **System of Records Notices (SORNs)**
- **Privacy Act Requests**

HUD has concentrated efforts on data minimization. This began with systematic analysis of HUDs PII holdings, and the authorities under which the PII is collected and maintained. HUD has contracted with an independent third party to create a *Guide to Develop Plans of Action for Minimizing Personally Identifiable Information*. The Guide outlines HUD's policy for minimizing PII and helps HUD program managers effectively eliminate unnecessary collection and use of PII, as appropriate. The scope of this effort includes all PII including full and truncated social security numbers. The Privacy Branch continues to work with HUD programs and staff to identify PII holdings and implement minimization action plans at the program level.

5. Whistleblower Protection

In an effort to meet statutory obligations to inform the Department's workforce about the rights and remedies available to them under the Civil Service Reform Act (CSRA), the Whistleblower Protection Act (WPA), and the Whistleblower Protection Enhancement Act (WPEA), as well as meeting the requirements of the second Open Government National Action Plan, the Department completed the Office of Special Counsel certification process on September 1, 2015. This certification is valid until September 1, 2018 as shown on the following link.

6. Websites

HUD maintains an Open Government web page, which includes the most current Open Government Plan as well as links to relevant HUD data sources, FOIA, records management and customer service information.

HUD's Digital Strategy web page includes its digital governance plan, as well as data publication processes, Federal Information Technology Acquisition Reform Act (FITARA)milestones, and public data set listings. HUD also posts data sets on its website and contributes to the federal data.gov website.

The former Deputy Secretary on behalf of OCIO and PD&R released a memorandum to all HUD program areas to ensure they are familiar with the requirements of the Open Data Policy and that they continue to expand, enrich, and open HUD datasets to the public in order to complete HUD's Data Inventory. The OCIO works with the program areas to collect the datasets and adds them to the inventory. HUD posts a schedule that contains a detailed quarterly schedule and milestones for each activity.

Similar to the HUDUser portal, where geographic information resides, the HUDExchange also contains community development and housing assistance programs and their management tools and best practices.

7. Open Innovation Methods

Future open innovation methods will build on the agency's strengths from demonstrated successes in recent innovative practices. For the Switchboard HUD developed a governance structure, processes and procedures to manage a very successful internal ideation platform. For the President's Hurricane Sandy Rebuilding Task Force HUD engaged stakeholders and partners with complementary missions in a "challenge" to develop plans to rebuild communities following a disaster. In support of the OSTP's White House Opportunity project HUD developed the HUDExchange. The participatory budgeting web-

interface helps grantees to raise awareness regarding tools and processes a community can use for engaging the public in funding based decision making.

Through collaboration, participation, and flagship initiatives, HUD plans to build capacities further and exploit smarter enterprise-wide technology driven platforms to further the use of open innovation methods. HUD's OCIO is collaborating with the Federal 18F initiative to institute innovation fellowships for staff, and with industry to evolve grantee methodologies and software use to harmonize policy-making for the homeless. HUD has explicitly recognized the need to modernize data warehousing to better inform partners and the public for consolidated planning spearheaded by Promise Zones.

Detailed planning for specific collaboration participation and transparency referenced in this plan will further inform the implementation of open innovation methods at HUD during the next year.

8. Open Source Software

HUD is working to ensure that new custom-developed code is broadly available across the federal government. Enhanced reuse of custom-developed code across the federal agencies can have significant benefits for American taxpayers and promotes interoperable systems across the government. HUD has set a goal to publish 20% of its newly developed code as Open Source Software when it is appropriate and beneficial. Work has already begun with several peer agencies to develop HUD's Government Off the Shelf (GOTS)'s and other non-commercial Software Catalog. This collaboration includes a review of all GOTS Internal Uses Software to determine access requirements and restrictions on the release of the software. New custom development projects will include government-wide reuse and modification rights as part of the acquisition agreements or licensing.

HUD's software catalog will offer an extensive portfolio of software products for a wide variety of technical applications. HUD's software catalog is planned to be organized into six broad subject matter categories:

- Business systems and project management
- Data servers processing and handling
- System testing
- Operations
- Design and integration tool
- Data and image processing

Each application listed in the catalog is available at no cost and has been evaluated for access requirements and restrictions:

- **General Public Release** — For codes with a broad release and no nondisclosure or export control restrictions
- **Open Source Release** — For collaborative efforts in which programmers improve upon codes originally developed by HUD and share the changes

- **U.S. Release Only** — For codes available to U.S. persons only, with no further transfer of the software allowed without the prior written approval of HUD
- **U.S. and Foreign Release** — For codes that are available to U.S. persons and (under special circumstances) persons outside of the U.S.
- **U.S. Government Purpose Release** — For codes that are to be used on behalf of the U.S. government
  - **Project Release** — For use under a contract, grant, or agreement
  - **Interagency Release** — For use by U.S. government agencies
  - **HUD Release** — For use only by HUD personnel and contractors

HUD's software catalog will be continually updated, and available through a centrally located website.

The first open source project identified under the aforementioned catalog process is the following system (catalog extract shown below)

Facilities Asset Management Enterprise System (FAMES)

- Which code is releasable to the public: U.S. Government Purpose Release.
- The location where code is released to the public: Releasable via written request to the Department of Housing and Urban Development.
- Which code is made broadly available for Federal Government reuse: The code that is releasable for Government only reuse provides a web based asset management system, which fully supports the Government property management system requirements as defined by the Joint Financial Management Improvement Program (*JFMIP*) which was given statutory authorization in the Budget and Accounting Procedures Act of 1950 (31 USC 65 as amended). It allows for optimal tracking and inventorying of agency wide personal property with the help of a mobile handheld (iPhone and iPad) camera/scanner. FAMES also automate the reuse or disposal of assets. FAMES was designed as an enterprise system in order to help ensure success and reduce costs, HUD leverages FAMES to interface with HUD's General Ledger, the acquisition system PRISM, with the personnel identification capability, HIHRTS as source(s) of data. Other HUD systems such as the Core Financial System, Credit Card Purchase Systems and other interfaces are in the development process.

9. Spending Information

In May of 2017, USASpending data will inform DATA Act reporting for federal direct assistance. In preparation for this effort, HUD has increased knowledge regarding data lineage and has used this information to change supporting IT systems and improve business processes. Since collaboration began with Treasury's Administrative Resource Center (ARC) in 2015, HUD has engaged in a prioritized and systematic data cleanup effort. These efforts are most relevant and evident in HUD's continuously improving USASpending reporting.

The obligation and legal entity information provided to USASpending in conjunction with the improvements to USASpending reporting will allow HUD and the public to analyze data more easily and across the federal government. The consensus building surrounding data definitions in 2015 and the coordination of that feedback into the data schemas that was led by Treasury and OMB using agile demonstrates how the Federal government can and is changing.

All sources of questions and requests after May of 2017 will focus on and support our milestones in 2018 and 2019. We know that we need to include outlay information, we will continue to participate with all CFO Agencies to define primary place of performance in a way that is transparent and furthers HUD's place-based performance reporting so that consumers can see where the money is going. Once this linkage is established and understood this data will be used to inform strategic decisions. USASpending will use single-family loan data to not only meet DATA Act requirements but also to further enrich longitudinal data being collected to further HUD's mission. Place of performance data will increase interactions with external stakeholders about what funding impacts have on the communities HUD serves.

ONGOING INITIATIVES

The alignment of HUD's customer-facing services to support the achievement of HUD's agency goals is a key factor for the success of the Open Government plan. The following links provide a high-level description of how the Department is continuing initiatives.

NAME	DESCRIPTION	FOCUS
Multimedia Channel	Website visitors are provided easy access to information videos and other social media sites.	Participation

NAME	DESCRIPTION	FOCUS
HUDdle	Bilingual, bi-directional blog providing information and feedback exchange.	Participation, Collaboration
Twitter Town Hall	Live discussion on topics with the Secretary on topics like "Strong Cities Strong Communities" initiatives for internal use.	Transparency, Participation, Collaboration
Data.gov	HUD is consistently publishing "high-value" data to Data.gov based on feedback from stakeholders. Providing data and visualization tools to meet needs of HUD stakeholders.	Transparency, Participation, Collaboration
Geographic Information System (GIS) Technology	Utilization of GIS data for community development grants – strategic funding decisions, mapping tools and planning templates.	Participation, Collaboration
Regulations.gov	Provide HUD's rules and regulations in a centralized, machine-readable, online format that is easy to use, share, search, and download.	Transparency, Participation
Community-Compass	Now incorporated in HUDExchange, it provides community-based non-profits access to tools and guidance to aid their establishment, sustainability, and effectiveness as force multipliers in their communities.	Collaboration

10. Participation in Transparency Initiatives

HUD has increased transparency in its rulemaking through the federal government's eRulemaking system, HUD's rules and other regulatory actions are easily available for viewing on the federal government wide portal. Through this portal, interested members of the public can view HUD regulations published in the Federal Register without having to go to the Federal Register website and, equally important, members of the public can submit comments on HUD rules out for public comment and view and download the comments already submitted. Use of this website also provides for viewing any

documents related to HUD's rules such as a regulatory impact analysis, a Regulatory Flexibility Act analysis, or a Finding of No Significant Impact.

HUD has also increased transparency in the regulatory waivers that HUD has granted. On HUD's http://portal.hud.gov/hudportal/HUD?src=/program_offices/general_counsel, HUD lists the quarterly regulatory waiver reports, published in the Federal Register from 1995 to the present.

All HUD's discretionary grant programs have been published on the www.Grants.gov pages since 2005. All discretionary programs except the Continuum of Care have received applications via Grants.gov since 2005.

11. Public Notice

As a part of the open government process, HUD developed a communications plan that provides a framework for coordinating all communications that take place as part of HUD's open government planning and implementation activities. It is intended to be a living document that guides the Department in developing and implementing communications initiatives and products to provide stakeholders with accurate and timely information about HUD's open government activities.

For the public it will be important to:

- Educate the public on how to access the information they want

- Incorporating open government messaging into HUD speeches by senior leadership

- Publicizing open government website via social media including blogs, You Tube, Twitter

   and Facebook and encouraging feedback

- Posting open government URL on all Department websites

- Using earned media events to get the message out

The Open Government Communications Plan helps to promote the new information HUD proactively provides to its stakeholders. It also provides HUD's employees with the information and strategies for effective communication about open and transparent government.

12. Records Management

HUD recognizes the integral role records management plays in supporting its mission, promoting transparency to the public, and ensuring greater information sharing across the federal government. The foundation of HUD's Records Management Program is to ensure that records are properly documented and preserved, regardless of medium, and that records no longer needed are properly disposed. HUD is working to adopt a 21st century framework for records management as outlined in the President's

November 2011 *Memorandum on Managing Government Records* and the accompanying August 2012 *Managing Government Records Directive (M-12-18)*. HUD's Executive Secretary serves as Senior Agency Official for Records Management.

HUD has made records management compliance a priority. The Department is on track to manage all email records in an accessible electronic format by December 2016 (Directive Goal 1.2). This goal requires departments to establish formally approved email policies, use automated systems to capture email, and provide email access. Key actions HUD is taking include: 1) updating and implementing email records management policies and 2) implementing Microsoft Office 365, which will meet automated compliance requirements. HUD policy requires employees to copy or forward electronic messages that are federal records from their non-official accounts to official accounts. HUD is also expanding employee training in email and records management. Additional information on HUD compliance and records management is publically available as follows:

- Contact information for **HUD's Senior Agency Official for Records Management**

- **HUD's Record Management website** provides information on the program, including Frequently Asked Questions; eRecords Management (ERM); Training, Guidance, Policy, and Regulations; and a Records Glossary & Acronyms

- **HUD's policies and procedures for records management** are available in *HUD Handbook 2225.6*: *HUD Record Disposition Schedules*

- More on HUD's compliance can be found in **HUD's Senior Agency Official for Records Management FY 2015 Annual Report**

HUD recognizes the need for continued investment in records management. For this reason, HUD has adopted a plan to double the size of its records management staff by the end of 2016. In addition, records management compliance has been reassigned to the HUD office of the Executive Secretariat to provide this critical compliance function with additional support and visibility throughout HUD. HUD also recently recruited a career senior executive and recognized expert in information management as its new Executive Secretary and Senior Agency Official for Records. HUD's continued investment in experienced information management expertise ensure the Department can meet the challenge of change in a dynamic government environment.

13. Freedom of Information Act (FOIA)

As required under the FOIA Improvement Act of 2016, the Attorney General's FOIA Guidelines of 2009, and the President's FOIA Memorandum, HUD has set goals to further integrate a presumption of openness into its FOIA program. To accomplish this, HUD has provided awareness training to all employees and ongoing training for departmental FOIA Liaisons. HUD also conducted outreach with media requesters, civil rights and housing advocates, and private attorneys. To increase discretionary release, the Chief FOIA Officer and HUD FOIA Liaisons review all applications of FOIA exemptions to ensure proper application of presumption of openness. HUD has also adopted the standard practice to

consider discretionary release when each FOIA response goes through the clearance process. HUD is updating its FOIA regulations as required by the Act. HUD's Executive Secretary serves as the Chief FOIA Officer.

HUD review both FOIA processing procedures and requester services on an ongoing basis. Key processing procedures expedite requests, reroute misdirected requests, ensure written notice is given to requesters when extending time limits for processing FOIA requests due to unusual circumstances, and other guidance. Reviewing requester services includes the support provided by HUD FOIA Public Liaisons, which have a key role in reducing delays, resolving disputes, and increasing transparency. HUD is also working to ensure that requesters are aware of the new requirement that they have the right to seek dispute resolution services the Office of Government Information Services (OGIS). To further assess efficiencies and eliminate redundancies, HUD uses a wide range of FOIA reports that are automatically generated in HUD's electronic FOIA management system. Senior managers also meet with FOIA Liaisons across the department to discuss new ideas, ways to streamline processes, obtain feedback, provide assistance and training, and resolve any problems and/or concerns.

The Department remains committed to improving its FOIA process and results. For example, earlier this year HUD recruited a FOIA expert as Executive Secretary and Chief FOIA Officer. She is a career member of the Senior Executive Service with 20 years of public and private sector experience in FOIA and privacy. Under her leadership, OES has undertaken a systemic review of HUD's FOIA program and plans to implement a recruitment plan to hire additional experienced, full-time FOIA professionals to the FOIA Branch. HUD's continuing investments in technology and experienced FOIA professionals has prepared the agency to meet the challenge of changes in FOIA volume, law, and policy.

Below are additional links to key information on HUD's FOIA program:

1. **HUD FOIA Contacts,** including HUD's Chief FOIA Officer, Headquarters Public Liaison, and FOIA Requester Service Centers and Public Liaisons, is posted at http://portal.hud.gov/hudportal/HUD?srs=/program_offices/adminsitration/foia/servicescenters

2. **HUD's process for responding to FOIA requests** is described in HUD's FOIA Reference guide

3. **HUD's Annual and Quarterly** FOIA Reports

4. **HUD's Chief FOIA Officer Reports**

5. **HUD's FOIA regulations**

6. **Information on how to make a FOIA request to HUD or check the status of an existing request**

14. Congressional Requests

HUD's Office of Congressional and Intergovernmental Relations is responsible for coordinating with program areas to ensure the effective and accurate presentation of the Department's views to Congress

and other federal agencies. In addition, the Office is responsible for managing congressional testimony and responses to congressional inquiries.

15. Declassification

HUD does not have the statutory authority to classify or declassify information; therefore, a specific declassification program does not exist.

16. Collaboration and Participation Initiatives

16.1 Utility Benchmarking the HUD-Supported Housing Stock

On June 30, 2016, the HUD Climate Council adopted a Comprehensive Strategy for Utility Benchmarking, which outlines its plan to issue reporting requirements for its partners that own and manage HUD's assisted housing and public housing stocks, as well as for those partners that receive mortgage insurance from HUD. The document also outlines HUD's plan to offer substantial support and create additional value for its partners when they engage in utility benchmarking, by marrying the reporting requirements with software development, technical assistance, and stakeholder engagement activities.

These reporting requirements will prompt thousands of housing providers across the country to incorporate utility benchmarking into their standard asset management practices for the first time, and in doing so, will create a data set of unprecedented size and scope. The utility benchmarking data set will provide new information on the basic characteristics of the housing stock, its absolute utility consumption and costs, its relative utility consumption and costs, the appropriateness of HUD subsidies, the effectiveness of capital investments, and progress towards efficiency goals. This information will help housing providers and HUD staff better manage and oversee the housing stock and federal funds.

The agency held at least four feedback sessions with housing providers between 2010 and 2016 on the subject of utility benchmarking, conducted a pilot program, and commissioned research studies that included surveys of housing providers. The agency has also engaged with nonprofit organizations, membership groups, software companies, and utility providers on this initiative. HUD has been collaborating and plans to continue to collaborate with the Department of Energy (DOE) and the Environmental Protection Agency (EPA) to design and build HUD's utility benchmarking system, which will gather, analyze, and publish the aforementioned data. This system will overlay several existing software tools, including EPA's Energy Star Portfolio Manager Tool and DOE's SEED platform, Asset Score tool, and Building Performance Database. In the name of transparency, HUD's utility benchmarking data set will be anonymized and published for the use of academic researchers and the general public through DOE's Building Performance Database. Throughout the policy development process, HUD utilized public participation and partner collaboration to guide its efforts.

Going forward, HUD plans to open the reporting requirements for public comment and to host stakeholder convening, in addition to continuing its collaboration with DOE and EPA. HUD's work in software development will be guided by regular user testing. Finally, a special partnership is also currently under development with the Environmental Defense Fund's Climate Corps program to develop and manage a large cohort of summer interns who will offer housing providers hands-on technical assistance and capacity building in utility benchmarking.

16.2 Section 3 Data Linkages with HUD Resource Locator

HUD's Section 3 is a law about giving HUD assisted citizens the opportunity to obtain a job and help strengthen their own neighborhoods. From 2012-2015, HUD funds created some 111,000 jobs, and helped employ local low-income residents to work with 26,000 HUD contractors awarded $5 billion in contracts through some 5,200 agencies. This data-linkage initiative aims to develop this important opportunity program by linking available data for more comprehensively supporting HUD programs. Planning has started on (a) using the existing HUD Resource Locator GIS platform to link data on Section 3 contractors and contract awards with the BusinessUSA digital app managed by Small Business Administration and (b) adding demographic public housing information that will inform local economic development programs, their managers, stake-holders and contractors of where the unemployed to be trained and hired under Section 3 opportunities live. This may be supplemented by data on locally accessible digital literacy, skill-building, vocational, jobs-driven training programs (e.g. through HUD's ConnectHome, STEM, JobsPlus, Moving-to-Work initiatives) aimed at mobilizing low-income unemployed. (See Section 3)

Section 3 – Data Linkages with HUD Resource Locator	
Lead government actors	Office of Equal Opportunity, OFHEO, Department of Housing and Urban Development (HUD), and HUD Resource Locator Team.
Other actors involved	Small Business Administration BusinessUSA
Main objective	Examine how place-based data platforms could link data on Section 3 business opportunities and unemployed residents. This will directly inform public housing agencies (PHAs) and grantees of local unemployed assisted housing residents who could potentially be trained under Jobs Plus / MTW, ApprenticeUSA / Youth Build and similar programs to benefit both Section 3 businesses and residents.

Brief description	HUD's Section 3 reporting system requires businesses to self-certify their Section 3 eligibility. This enables them to receive contracting opportunity information from other Federal sources, like BusinessUSA, which integrates with FedBizOpps etc. Registered section 3 businesses do not have a "spatial" view of eligible low-income assisted work force in the communities they serve. Integrating PHA/Grantee contacts and potentially, information about job seekers in assisted households they serve is possible through the HUD Resource Locator app. This would enable HUD to require PHA/grantees and other stakeholders to share opportunities equally with Section 3 eligible businesses and residents who may be trained and employed working jointly with other Federally funded programs.			
Relevance	This commitment relates to civic participation and public accountability.			
Ambition	This effort improves effectiveness of government and provides transparency at the community level so HUD may assist stakeholders, to the greatest extent possible, deliver more opportunities generated by Federal funds.			
Completion level	Not started	Limited	Substantial	Completed
	✓			
Description of results	This project has not begun yet, so there are no results.			
End date	Summer 2017			
Next steps	TBD			

17. Flagship Initiatives

17.1 SNAPS - VA Tech Capstones

SNAPS – VA Tech Capstones	
Lead government actors	Office of Special Needs Assistance Programs (SNAPS), Department of Housing and Urban Development (HUD).
Other actors involved	Hewlett Packard and Virginia Tech's Center on Business Intelligence and Analytics (CBIA); and others.
Main objective	Work with one community to examine how to use data to determine how projects within a Continuum of Care (CoC) are working toward the overall goal of ending homelessness in that community.

Brief description	HP and CBIA students will work with a local community, examine data collected in their Homeless Management Information System (HMIS), see how the data can be used to effectively, fairly score, rate, and rank homeless projects in the CoC. This is challenging, because different projects serve different types of clients, some of whom require extensive intervention and time before they become stable or self-sufficient.
Relevance	This commitment relates to civic participation and public accountability.
Ambition	This effort improves effectiveness of government and provides transparency at the community level so stakeholders can see how a community chooses to spend their Federal grant funds.

Completion level	Not started	Limited	Substantial	Completed
	✓			

Description of results	This project has not begun yet, so there are no results. The expected results are that the CBIA students will provide HUD with a best practices protocol and possibly a rating and ranking tool to pilot in other communities.
End date	Spring 2017
Next steps	HUD will attend kickoff meeting on October 3, 2016 at Virginia Tech where CBIA students will be presented with an overview of the challenge we are requesting they examine. Once the kickoff is complete, CBIA students will work with HUD and one local community to examine data, develop a protocol for using data to fairly rate, and rank projects in their CoC.

17.2 Promote Public Participation in Community Spending Decisions

Promote Public Participation in Community Spending Decisions - Ongoing	
Lead government actors	OSTP, Department of Housing and Urban Development (HUD)
Other actors involved	Strong Cities, Strong Communities initiative; National League of Cities; Participatory Budgeting Project; City of Chicago; City of New York; City of Vallejo, California; and others
Main objective	Work with others who promote participatory budgeting to increase awareness and adoption of the approach.
Brief description	Bring together subject-matter experts to create tools and best practices that communities can use to implement participatory budgeting projects. Raise awareness about participatory budgeting as a community tool and its uses and benefits.

THE DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT OPEN GOVERNMENT PLAN 2016

Relevance	This commitment relates to civic participation and public accountability.			
Ambition	This effort improves effectiveness of government and empowers citizens to participate in financial governance decisions.			
Completion level	Not started	Limited	Substantial	Completed/Continuing
				✓
Description Results and Continuing Initiatives	OSTP convened the above participants for a day long workshop at the White House to share information and practices, encouraging collaboration. HUD developed a Participatory Budget page for HUD grantees to raise awareness about the process and the ability of grantees to use Participatory Budgeting as a community engagement process for the allocation of relevant federal funds. Some interested communities are exploring participatory budgeting for the first time with Federal funds through their Community Development Block Grant or HOME improvement Partnerships Program community engagement processes. https://www.whitehouse.gov/blog/2014/06/02/promoting-innovation-civic-engagement-celebrating-community-led-participatory-budget			
End date	This initial commitment is complete; will continue and do expand coverage. See below.			
Next steps	HUD will continue to provide educational resources and answer questions from communities who are interested in participatory budgeting as part of their community engagement process for HUD funds. Additionally, the National Resource Network, a component of the Strong Cities, Strong Communities Initiative, will continue to work with the Participatory Budgeting Project to develop and share toolkits and other resources about participatory budgeting, particularly targeted at communities facing chronic economic challenges.			