HUD Records Management Assessment

Program Office

Office/Division/Branch	3. **RECORDS MANAGEMENT LIAISON OFFICER**

Assignment of Records Management Duties

1. Has the office formally designated a records management liaison officer (RMLO) with responsibility for carrying out a records management program (as stated in RM Handbook 2228.1)?
    a. If yes, please provide his/her name: _____
    b. If yes, how long has this person been responsible? _____
    c. Does this person have access to the Archives and Records Centers Information System (ARCIS)?
2. Does a program directive(s) define the role and responsibilities of the RMLO and the scope of the records management program?
    a. If yes, does it provide authority to the RMLO to conduct an effective program-wide program?
    b. Are records management duties included into your staff responsibilities?
3. Does the RMLO formally assess your organization records disposition activities and brief senior officials? **(PP)**

Records Management Program Activities

1. What is the approximate full-time equivalent (FTE) count in your organization?
    a. Please provide your organization chart.
    b. Please provide POC's for each division.
2. When was the last time you reviewed your records inventory, file plan, and retention schedules?
3. Do staff know who to speak to regarding questions about records and information management policy?
4. Does your office have a basic records and information management policy?
5. Does your office store paper records?
6. Are cutoffs (file breaks) clearly implemented for each records series?
7. Are permanent series of records identified and maintained separately from temporary records?
8. Do your records repositories have security measures and access protocols that protect records which deal with confidential business information (CUI), Privacy Act (PII), and other restricted records?

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Essential Records (Vital)

1. Has the program identified its vital records; that is, its emergency operating records and legal rights records? (PP)
2. Has the office assessed potential risks to their vital records?

Electronic Records

1. In what electronic recordkeeping system are your digital assets stored?
2. Are records and information management procedures and tools integrated into the standard work flow, computer systems, and staff operations manuals for all business processes?
3. Do staff members manage digital records and information in centrally managed locations, rather than on their individual computers or in personal drives?

Contracts

1. Do contracts identify that contractor-created content are Federal records?
2. Does the office provide contractors with the regulations and procedures governing Federal records?
3. When electronic records are involved, do contracts specify the delivery of background data that may have further value to HUD?
4. Do contracts involving development of electronic systems specify the delivery of systems documentation to HUD along with the final product?