

[NAME, TITLE]

Records Management Liaison Officers (RMLOs) Roles and Responsibilities

STATUTORY REQUIREMENTS: Federal Records Act (44 U.S.C. Chapter 23, 31, and 33), Federal Records Act Amendments of 2014, Office of Management and Budget (OMB) Managing Government Record Directive (M-19-21), 36 CFR Part 1222.34, and 36 CFR Part 1228.

POLICIES: In accordance with the Department of Housing and Urban Development's (HUD) Records Disposition Handbook (2228.1), the disposition management policies are:

- A. Provide for efficient, economical, and effective controls for disposing of all HUD records. HUD's basic premise is that most records cannot be kept permanently or even for long periods.
- B. Develop HUD records disposition schedules on a program or functional basis, instead of by organization. Any organizational schedules must be changed to program or functional schedules as soon as possible.
- C. Promptly apply approved records disposition schedules and disposal lists to HUD records. Schedules and lists are approved NARA.
- D. Encourage the inclusion of critical elements on records disposition management in individual performance appraisal plans, where appropriate.
- E. Consider the retention periods of the source documents and related textual records when establishing retention periods for automated files.

To ensure that these policies are carried out a Records Management Liaison Officers (RMLOs) must be appointed by a Primary Organization Heads (POH). POH's are responsible for implementing and operating effective records disposition management programs within their organizations.

POH's must:

1. Name a Records Management Liaison Officers (RMLOs) and alternate for their organization. Send the written designation to the Agency Records Officer (ARO).
2. Effectively manage their organizations' records as an important program resource. This includes planning, developing and operating HUD programs and activities so that:
 - a. The volume of records created is kept to a minimum.
 - b. Records are kept for the shortest time needed to meet administrative, fiscal and legal requirements.
3. Ensure that the records are scheduled by an approved records disposition schedule.
4. Ensure that the records are disposed of promptly, following approved records disposition schedules.
5. Ensure that those records which warrant permanent retention are so identified (subject to NARA approval), earmarked, and properly maintained.
6. Ensure that retention periods are established for all of their organizations' automated files.
7. Include critical elements and performance standards on records disposition management in individual performance appraisal plans, where appropriate.

Records Management Liaison Officers (RMLO's). Headquarters and Regional RMLO's are responsible for coordinating the records disposition management program for their organizations. RMLO's must:

RMLO's critical element: Manages office's records and ensures that all are scheduled, including electronic files. Ensures that office does not maintain records whose retention periods have expired. Ensures that office conducts annual review of records disposition schedules covering their records and recommends any needed changes in writing through proper channels.

1. Along with immediate supervisor perform record evaluations of the program office record management policy and Record Coordinators/Custodians.
2. Coordinates the records management activities of a major program office, whether at Headquarters or in the Field Offices and Regional offices.
3. Serves as the primary program office official who coordinates records management matters with the regional NARA office and any other local oversight agencies.
4. Coordinates changes to the records schedule with the ARO and local program managers.

5. Coordinates matters relating to records management with the program office's FOIA/Privacy Act Official(s), Records Management Branch, system administrators, program managers, internal auditors, visiting Inspector(s) General, counsel, the Public Affairs Officer, the Web Manager, the Agency Historian, and the Imaging and Micrographics Manager as well as with program officials responsible for other special media, such as audiovisual records, cartographic and architectural records, and printed records.
6. Ensures that program office recordkeeping procedures are established, implemented, and periodically updated for all offices at all levels and for all record media, including electronic and other special records.
7. Coordinates with the Agency Records Officer to report that each office within the program office has a designated Records Custodian.
8. Ensures that each office creates and maintains records documenting its program and administrative activities.
9. Works with Records Custodians to make sure that all the records of each office are listed in the office file plan and are described accurately in the agency's records schedule.
10. Works with Records Custodians to ensure the transfer of eligible records to a records center, the prompt disposal of temporary records when their retention periods expire, and the timely transfer of permanent records to NARA.
11. Ensures the proper training of Records Custodians and employees and the proper briefing of program and senior managers.
12. Promotes the records management program within the program office.
13. Conducts periodic evaluations of records management activities within the program office.

PERFORMANCE STANDARDS:

Outstanding:

In addition to meeting the standards for fully successful:

- Uses available training resources to help employees become knowledge-able about records disposition management and its role in efficient operation of office.
- Guides and directs employees in developing records disposition schedules to ensure the schedule is medium neutral.
- Makes special efforts to help employees manage their records (paper and electronic) efficiently.
- Takes quick, consistent action to correct employees' poor performance in managing their records (paper and electronic).

Fully Successful:

Performance at this level consistently meets these standards:

- Tells employees what is expected in terms of compliance with records disposition management policies and procedures.
- Makes sure that employees develop records disposition schedules for the office's records which will ensure the availability of records needed to meet requirements imposed by HUD and outside agencies.
- Notifies designated file custodian(s) of requirement to conduct annual reviews of records disposition schedules covering all of the office's records, including automated files; requires review reports with recommendations for needed changes, if any.
- Notifies all employees of annual records cleanout campaign; takes lead in participating and requires that everyone participate; reviews campaign results and takes any corrective action needed.
- Inspects periodically to make sure office space is not cluttered with records/paper.

Unacceptable:

Performance at this level consistently meets these standards:

- Does not tell employees what is expected in terms of compliance with records disposition management policies and procedures.
- Does not make sure that employees develop records disposition schedules for the office's records; schedules will not ensure the availability of records needed to meet HUD and outside agency requirements.
- Does not notify designated file custodian(s) of requirement to conduct annual reviews of records disposition schedules covering all of the office's records, including automated files; does not require review reports; does not require recommendations for needed changes if any problems are found.
- Does not notify employees of annual records cleanout campaign; does not take lead in participating; does not require that all employees participate; does not review campaign results; does not take corrective action as needed.
- Does not inspect office space with result that it becomes cluttered with records/paper