

CHAPTER 1. OVERVIEW OF INFORMATION RESOURCES MANAGEMENT (IRM)

- 1-1. Purpose. This handbook establishes Information Resources Management (IRM) policies for the Department of Housing and Urban Development (HUD). All IRM policies in this handbook are established in accordance with the Paperwork Reduction Act of 1980, the Paperwork Reduction Reauthorization Act of 1986, Office of Management and Budget (OMB) Circular No. A-130, Management of Federal Information Resources, other applicable OMB and General Services Administration (GSA) directives, and legislative mandates. These policies establish the framework for directing IRM resources toward the program priorities and management initiatives of the Department and for improving management of IRM program execution in Headquarters and the Field. These IRM policies promote an integrated Departmental approach for performing information management planning and oversight.
- 1-2. Definition of Information Resources Management (IRM). The term IRM means the planning, budgeting, organizing, directing, training, promoting, controlling, and management activities associated with the burden, collection, creation, use, and dissemination of information by agencies, and includes the management of information and related resources such as Federal information processing resources.
- 1-3. Overview of Information Resources Management Policies. Within the framework of Information Resources Management, operational activities concerning Departmental information resources are governed by the following major policies:
- a. Automated Systems Development Policy. The Department's general policy is to adhere to the Federal Managers Financial Integrity Act of 1982 and to develop automated systems using the life cycle concept described in the Model Framework for Management Control Over Automated Information Systems prepared jointly in 1988 by the President's Council on Management Improvement and the President's Council on Integrity and Efficiency.

- b. Efficient use of Information. Information is an important resource to be managed in a

cost-effective manner. The efficient use of information improves program management and productivity through: (1) improved delivery of programs; and (2) Departmentwide sharing of information common to all.

- c. Attention to Information as Program Policies Evolve. Information requirements associated with systems needed to support new HUD programs should be identified by Program Managers as early as possible in the program formulation cycle. This information should be derived from analyses, such as a front-end risk assessment, related to the implementation and management of the program, and any support activities required by the program.
- d. Input of All Concerned Organizations. To aid information sharing and minimize development of specialized automated systems, Program Areas developing requirements for new systems which concern other Program Areas will make every effort to solicit input from those other areas at the earliest practicable stage. This coordination will enable early discussion of joint needs, coordinated Departmental requirements, and ensure that respective responsibilities for information gathering, input, and data timeliness/quality maintenance are addressed.
- e. Coordination by Office of Administration.
 - (1) The Office of Administration will assist the Program Areas to confirm that the necessary coordination has occurred with appropriate offices, or as needed, cause it to take place prior to initiation of the system development activity.
 - (2) As needed, the Office of Administration will consult with and advise Program Areas in resolving any information requirement or data definition differences that have not

been resolved during the requirements development process.

- f. Consideration of Field Impact. The impact of new automated systems on Field organizations will be considered thoroughly. If such developments anticipate a Field information collection effort,

transmission, or use, coordination with the Field will take place to ensure their input.

- g. Inherent Part of Work Process. Required information should be obtained as an inherent part of the work process in the delivery of HUD programs rather than as an overhead or extra function to the work process. Priority will be given to those systems intended to provide automated support to accomplish the work necessary to deliver HUD programs.

1-4. Information Resources Management Responsibilities.

- a. Information Resources Management Planning Board. The Deputy Secretary of the Department of Housing and Urban Development (HUD) established an Information Resources Management Planning Board (IRMPB) to ensure direct participation by Principal Staff in establishing Departmental IRM policies and priorities, and in directing the allocation of automated data processing (ADP) resources to those priorities. The Assistant Secretary for Administration chairs the IRMPB, and membership is comprised of the heads of primary Headquarters organizations. An IRMPB Working Group of senior staff from each organization supports the IRMPB.

The IRMPB is a key element in the IRM planning process at HUD. The availability of timely, accurate, and useful program information is essential to the implementation of strategic business plans in support of the Departmental priorities established by the Secretary. The IRMPB provides a process through which Principal Staff can assure that the allocation of information resources accurately reflects these priorities. Actions and recommendations of the IRMPB are reported to the Deputy Secretary.

- b. Senior Official. The Assistant Secretary for Administration is designated the Senior Official for IRM for the Department. The Senior Official is responsible for carrying out the Department's IRM Program and activities in an efficient, effective, and economical manner, and for ensuring that HUD complies with the IRM policies, principles, standards and guidelines which are prescribed for the Federal Government. On behalf of the Secretary, the Senior Official shall:

- (1) Have primary responsibility for managing HUD's information resources in collaboration with and support of the Department's Program Managers.
- (2) Ensure that the information policies, principles, standards, guidelines, rules, and regulations prescribed by OMB and GSA are implemented appropriately within HUD.
- (3) Develop internal HUD information policies and procedures and oversee, evaluate, and otherwise periodically review IRM activities for conformity with established policies.
- (4) Develop Departmental policies and procedures which provide for timely acquisition of required information technology.
- (5) Chair the Department's Data Integrity Board (DIB), and oversee the conduct of computer matching activities.
- (6) Maintain an inventory of HUD's major information systems and information dissemination programs.
- (7) Create, maintain, and dispose of records of HUD activities in accordance with the Federal Records Act of 1950, as amended.
- (8) Identify to OMB any statutory, regulatory, and other impediments to efficient management of Federal information resources and recommend legislation, policies, procedures, and other guidance to improve such management.

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- (9) Implement Federal requirements regarding provision of electronic office equipment accessibility for employees with disabilities.
- (10) Assist OMB in the performance of its functions under the Paperwork Reduction Act and make available services, personnel, and facilities for IRM-related purposes, as appropriate.
- (11) Carry out the IRM responsibilities of the

Department under the Paperwork Reduction Act of 1980 and the Paperwork Reduction Reauthorization Act of 1986.

- c. Other IRM Responsibilities. Various Offices reporting to the Senior Official execute IRM functions. These Offices provide primary support and management to the various components related to IRM from a Departmentwide perspective. These Offices are as follows:

- (1) Office of Information Policies and Systems (IPS). IPS is responsible for the direction and execution of the Department's IRM program. IPS serves as the focal point in the management of the Department's IRM activities and ensures cross-cutting liaison with Office of Management and Budget (OMB), General Services Administration (GSA), Office of Inspector General (OIG), etc. In addition to ensuring that other organizations have input to the formulation and implementation of complementary IRM policies and objectives, IPS executes specific IRM responsibilities on behalf of the Senior Official. This IRM focus includes reports management, the Departmental ADP Security and Privacy programs, forms management and forms automation functions, computer operations and maintenance, equipment/telecommunications management, office information systems and microcomputer management, ADP budgeting and resource management, contract oversight and

acquisition via Federal Information Resources Management Regulations (FIRMR), systems engineering and customer automation services, and long-range IRM planning.

- (2) Office of Administrative and Management Services (OAMS). OAMS is responsible for the direction and execution of the Department's IRM-related functions concerning communications management, records management and disposition, and micro-imagery management (micrographic/optical imagery). This includes the development and issuance of policies and procedures concerning the management of records, including their

establishment, maintenance, storage, and disposition. OAMS serves as the focal point for the development of policies for and oversees Departmentwide operations related to the use of facsimile, teletype, long line and telephone communications systems, including the coordination and installation of data facilities for nationwide networks.

- (3) Office of Procurement and Contracts (OPC). OPC is responsible for the award and administration of procurement contracts, purchase orders, and interagency agreements for Headquarters operations, including research, development, management studies, information technology and related services, and general services. OPC develops, coordinates, and evaluates Departmental policy and regulations with respect to procurement (contracts, purchase orders, and interagency agreements), reviews procurement procedures developed throughout the Department, and evaluates all Departmental procurement operations.
- (4) Office of Personnel and Training (OPT). OPT is responsible for providing assistance to IPS and HUD Program Offices with the design, development, and delivery of training on automated information systems. This assistance includes funding for travel and lodging associated with training, and help

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with logistical arrangements for training. OPT is also responsible for ensuring that training it supports meets HUD standards for instructional design, development, and evaluation.

- d. Primary Organization Heads (POHs). POHs and their staffs forecast future automation needs and priorities and, through the Information Resources Management Planning Board (IRMPB), play key roles in the ADP planning and budgeting process in support of those needs. Program Areas assess and identify their ADP requirements and provide initial specifications for ADP systems. Program Areas work in close coordination with Office of Administration staff during the development of the systems, certify that the resultant systems are acceptable and meet their needs, and participate in system implementation and ongoing

operational activities.

1-5. OMB

Circular

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No. A-130, Management of Federal
Information Resources.

- a. OMB Circular No. A-130 requires that agencies manage their information resources to assure maximum usefulness, integrity and security, and to minimize costs. Toward this goal, HUD will: limit the information created or collected; promote the sharing of information processing resources; provide guidance on appropriate access to information for the public and for individuals; and clarify policy on information dissemination consistent with legal requirements. In the area of information technology, the Circular outlines policies designed to emphasize strategic planning and reducing costs, and requests that agencies seek out opportunities for sharing information technology and resources.

- b. OMB Circular No. A-130 provides Governmentwide IRM policies concerning:
 - (1) Federal Agency Responsibilities for Maintaining Records about Individuals. Provides agency responsibilities for implementing the Privacy Act of 1974. These responsibilities have been incorporated into HUD Handbook 1325.1 , Privacy Act.

- (2) Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities. Establishes policies for cost accounting, cost recovery, and interagency sharing of Federal information technology facilities. (Information concerning these procedures can be found in Appendix 5 of this handbook).

- (3) Security of Federal Automated Information Systems. Establishes a minimum set of controls to be included in Federal automated information systems security programs; assigns responsibilities for the security of agency automated information systems; and clarifies the relationship between such agency security programs and internal control systems established in accordance

Internal

with OMB Circular No. A-123,

Control Systems. These responsibilities and procedures have been incorporated into the HUD ADP Security Handbook, 2400.23.

- c. The broad scope of the Circular focuses oversight on a series of aspects of IRM rather than on a single comprehensive reporting theme. OMB will be using existing mechanisms such as the fiscal budget, IRM planning data, Information Collection Budget, and management reviews to examine agency compliance with Circular No. A-130.
- d. HUD also has established a triennial IRM review program under GSA directives to monitor major Departmental activities and accommodate reporting to oversight agencies. These reviews are used to identify information management activities supporting programs critical to carrying out HUD's programmatic missions, to assess opportunities for improvement and to develop recommendations and ensure that improvements are made.