

Office of Evaluation

Appendix 4 – Open Recommendations (by report number)

Office of Evaluation

Reporting Period	Number of Open Recommendations
Pre – 2013	0
2013	11
2014	24
2015	25
2016	29
2017	18
2018	36
Total	143

Report Number	Report Date	Rec #	Recommendation Text	Balance Due
2013-ITED-0001	11/15/2013	5	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	11	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	21	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	32	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	36	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	40	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A

2013-ITED-0001	11/15/2013	46	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	50	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	51	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	53	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2013-ITED-0001	11/15/2013	56	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	2	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	4	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	7	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	8	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	10	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	11	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	16	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	17	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	18	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A

2014-ITED-0001	4/30/2014	19	The OIG has determined that the contents of this recommendations would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	21	The OIG has determined that the contents of this recommendations would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	32	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	33	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-ITED-0001	4/30/2014	34	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0002	2/12/2016	1	To strengthen HUD-wide enforcement that supports HUD's broader risk management efforts, we recommend that the Deputy Secretary implement an enterprise-wide approach to enforcement using risk management concepts similar to those shown in the multifamily enforcement model.	N/A
2014-OE-0002	2/12/2016	2	To strengthen HUD-wide enforcement that supports HUD's broader risk management efforts, we recommend that the Deputy Secretary strengthen DEC's authority to enforce program requirements. Program offices should be directed to incorporate risk management procedures, to include risk-based, data-driven referrals to DEC, and implement a process that allows DEC to recommend enforcement actions independently. The Deputy Secretary or designee should be the final arbiter when disagreements arise.	N/A
2014-OE-0002	2/12/2016	3	To strengthen HUD-wide enforcement that supports HUD's broader risk management efforts, we recommend that the Deputy Secretary provide DEC with the authority and resources necessary to implement a HUD-wide enforcement program.	N/A
2014-OE-0002	2/12/2016	4	To strengthen HUD-wide enforcement that supports HUD's broader risk management efforts, we recommend that the Deputy Secretary Direct program offices and REAC to collaborate with DEC to research the types of data that would provide clear indications of financial and physical performance failures appropriate for use in data-driven referrals to DEC from each program office.	N/A
2014-OE-0002	2/12/2016	6	To address operational challenges that impede DEC's capacity to support HUD programs, we recommend that the General Counsel develop a strategy for addressing additional enforcement workload.	N/A
2014-OE-0002	2/12/2016	7	We recommend that the Deputy Assistant Secretary evaluate the impact of Multifamily's reorganization on enforcement, including (1) monitoring the impact of changes to the risk	N/A

			assessment process, (2) making changes to MOUs, (3) documenting procedural changes and how those changes affect DEC and REAC collaboration, (4) improving data tracking and data sharing with DEC and REAC on improvement and enforcement actions taken and associated results, and (5) ensuring that Multifamily has the capacity to maintain the improvements it has achieved in recent years	
2014-OE-0002	2/12/2016	8	To support potential expanded data gathering for program offices, we recommend that the Principal Deputy Assistant Secretary direct REAC to work with DEC and program offices to identify and develop strategies for collecting data needed to support its National Risk Assessment Tool and ERM to include major program participant risks.	N/A
2014-OE-0003	11/15/2014	4	The OIG has determined that the contents of this recommendations would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	8	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	13	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	14	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	16	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	17	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	19	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	20	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	21	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2014-OE-0003	11/15/2014	22	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A

2015-OE-0001	11/15/2015	20	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2015-OE-0002	9/29/2015	1	Develop a coordinated mission-critical system development life cycle replacement program for mission-critical systems.	N/A
2015-OE-0002	9/29/2015	3	Finalize, apply, and strategically communicate all standard IT policy across OCIO and the program offices to ensure that there is a common understanding of the modernization, EA, and CPIC policies	N/A
2015-OE-0002	9/29/2015	4	Approve at appropriate levels, implement, and disseminate policy & processes as intended	N/A
2015-OE-0002	9/29/2015	5	Formalize and fully implement segment governance.	N/A
2015-OE-0002	9/29/2015	7	Implement project health assessments to measure the effectiveness of IT project planning and execution	N/A
2015-OE-0002	9/29/2015	8	Validate the accuracy of IT investment lists by segment and the associated projects and ensure alignment with EA strategy.	N/A
2015-OE-0002	9/29/2015	9	Define and assess measurements in a yearly EA value measurement report in accordance with OMB EA framework guidance	N/A
2015-OE-0002	9/29/2015	10	Fully develop, approve at appropriate levels, and disseminate current CPIC process policies and procedures	N/A
2015-OE-0002	9/29/2015	11	Ensure that the Executive Investment Board meets in accordance with IT governance policy (related to recommendation from GAO-15-56).	N/A
2015-OE-0002	9/29/2015	12	Implement HUDPlus to automate, track, and analyze the IT investment submissions and requirements	N/A
2015-OE-0004	2/2/2016	3D	Work closely with each program office to reach agreement on the staffing model and resources needed to implement the COR professionalization initiative.	N/A
2015-OE-0008	3/30/2016	1B	The Personnel Security Division director should development a comprehensive policy and clear guidance for all HUD personnel with roles and responsibilities related to contractor employee security.	N/A
2016-OE-0001	9/23/2016	1	Develop internal written procedures for records management that a. Identify materials OHF collects or generates, which meet the regulatory definition of a record; b. Comply with Federal and departmental records management policies, to include appropriate records disposition schedules; and c. Inform all personnel of their records management responsibilities.	N/A
2016-OE-0001	9/23/2016	2	Ensure that personnel preparing records for archiving are trained to perform this function and aware of all relevant records disposition schedules and policies.	N/A

2016-OE-0001	9/23/2016	3	Offer records management training that incorporates a. Federal and departmental records management policies, to include HUD's safeguards against the removal or loss of records and the penalties provided by law for the unlawful removal or destruction of records, and b. Employee records management responsibilities, to include identification and maintenance of Federal records in all formats and media.	N/A
2016-OE-0002	6/7/2017	1	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	2	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	3	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	4	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	5	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	6	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	7	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	8	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0002	6/7/2017	9	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0004S	3/29/2017	1	Director for the Office of Field Management ensure that the CDBG-DR risk analysis worksheet includes risk factors that show the measurement of performance outputs to determine completed activities.	N/A
2016-OE-0004S	3/29/2017	2	Director for the Office of Field Management update the risk analysis guidance for CDBG-DR grants to include the assessment of the likelihood of risk occurrence to help inform management which critical risks to address during monitoring.	N/A

2016-OE-0004S	3/29/2017	4	General Deputy Assistant Secretary for CPD ensure that CPD personnel that plan for, award, and manage grants and other forms of financial assistance receive formal risk analysis training.	N/A
2016-OE-0006	11/25/2016	2	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0006	11/25/2016	3	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0006	11/25/2016	4	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0006	11/25/2016	7	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0006	11/25/2016	9	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0006	11/25/2016	11	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2016-OE-0006	11/25/2016	12	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	1	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	2	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	3	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	4	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A

2017-OE-0007	10/31/2017	5	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	6	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	7	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	8	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	11	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	12	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	14	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	15	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	17	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0007	10/31/2017	18	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A

2017-OE-0007	10/31/2017	19	The OIG has determined that the contents of this recommendation would not be appropriate for public disclosure and has therefore limited its distribution to selected officials.	N/A
2017-OE-0014	7/24/2018	1	Create agreements and strategies with other program offices that describe when cross-programmatic reviews and enforcement actions against PHAs are required.	N/A
2017-OE-0014	7/24/2018	2	Train PIH officials on the authority and processes for declaring PHAs in substantial default and for taking PHAs into HUD possession.	N/A
2017-OE-0014	7/24/2018	3	Update and strengthen the training program for HUD receivers of PHAs.	N/A
2017-OE-0014	7/24/2018	4	Update procedures for receiverships to include specific guidance on when initiating a receivership may be appropriate.	N/A
2018-OE-0001	9/13/2018	1	Ensure the privacy program is staffed with experienced personnel (such as a Chief Privacy Officer) to manage the operational aspects of the program.	N/A
2018-OE-0001	9/13/2018	2	Issue a notice at the Secretary level delegating and clarifying the authority and responsibilities of the SAOP and Privacy Office.	N/A
2018-OE-0001	9/13/2018	3	A. Document the roles and specific responsibilities of all positions assigned privacy responsibilities. B. Communicate these responsibilities on a recurring basis, at least annually, to individuals holding these positions.	N/A
2018-OE-0001	9/13/2018	4	Implement thorough human capital processes to ensure execution of the HUD privacy program and all its requirements.	N/A
2018-OE-0001	9/13/2018	5	Finalize and approve the draft privacy program strategic plan.	N/A
2018-OE-0001	9/13/2018	6	Ensure the privacy program is integrated with the enterprise risk program and that privacy risks are incorporated into the agency risk management process.	N/A
2018-OE-0001	9/13/2018	7	Establish an executive leadership dashboard to communicate continuous monitoring of key program risks and issues.	N/A
2018-OE-0001	9/13/2018	8	A. Develop an internal privacy program communication plan to describe how privacy issues will be disseminated and best practices will be shared. B. Implement the communication plan.	N/A

2018-OE-0001	9/13/2018	9	Develop a dedicated budget to address Privacy Office training needs and initiatives.	N/A
2018-OE-0001	9/13/2018	10	Update all privacy guidance to reflect current Federal requirements and processes.	N/A
2018-OE-0001	9/13/2018	11	Implement a formal process for the Privacy Office to issue and communicate privacy guidance, requirements, and deadlines.	N/A
2018-OE-0001	9/13/2018	12	Update and continue to maintain a central collaboration area to include all current privacy program policies, procedures, and guidance.	N/A
2018-OE-0001	9/13/2018	13	Establish standard processes to ensure consistent work flow and communications between program office and Privacy Office personnel.	N/A
2018-OE-0001	9/13/2018	14	Ensure role-based privacy training is provided to all personnel with privacy responsibilities.	N/A
2018-OE-0001	9/13/2018	15	Ensure privacy awareness training is provided to all contractor and third party personnel.	N/A
2018-OE-0001	9/13/2018	16	Provide personnel tasked with handling Privacy Act requests with recurring training on Privacy Act exceptions.	N/A
2018-OE-0001	9/13/2018	17	Establish documentation procedures for accounting of disclosures made under the Privacy Act, as required by 5 USC 552a(c).	N/A
2018-OE-0001	9/13/2018	18	Establish an annual computer matching activity reporting process to meet the requirements of OMB Circular A-108.	N/A
2018-OE-0001	9/13/2018	19	Determine if general support system privacy threshold assessments or privacy impact assessments should be completed; if not, document the rationale.	N/A
2018-OE-0001	9/13/2018	20	Develop the technical capability to identify, inventory, and monitor the existence of PII within the HUD environment.	N/A
2018-OE-0001	9/13/2018	21	Develop and implement a process to inventory all agency PII holdings not less than annually. [Dependent upon completion of Recommendation 20].	N/A
2018-OE-0001	9/13/2018	22	Renew the PII minimization effort, to include a prioritization by the SAOP of specific minimization initiatives.	N/A
2018-OE-0001	9/13/2018	23	Require all system owners to review the records retention practices for each information system and take any corrective actions necessary to ensure adherence to the applicable records retention schedule.	N/A

2018-OE-0001	9/13/2018	24	A. Issue a clean desk policy prohibiting unattended and unsecured sensitive data in workplaces. B. Implement procedures to enforce the clean desk policy.	N/A
2018-OE-0002	6/12/2018	1	Update the occupant emergency plan so that it lists the ways occupants are to report fires or other emergencies.	N/A
2018-OE-0002	6/12/2018	2	Periodically provide training on the occupant emergency plan once it is updated.	N/A
2018-OE-0002	6/12/2018	3	Create a process to help ensure that fire drills for the Weaver Building occur every year.	N/A
2018-OE-0004	8/13/2018	1	Direct PIH and OCIO to develop a comprehensive project plan, documenting the milestones and dates for addressing the gaps in ONAP-LOS capabilities (functionality and reports) and the 25 recommendations made during HUD OCIO's project health assessment.	N/A
2018-OE-0004	8/13/2018	2	Direct all stakeholders to identify all viable options to securely resolve the ONAP-LOS access issues, so authorized Section 184 lenders can access the system. The best solution should not impose unacceptable risk to business processes or sensitive data. Current program offices involved are OCIO, PIH, and FHA, while others may also be identified.	N/A
2018-OE-0004	8/13/2018	3	Direct PIH and OCIO to ensure that the Section 184 program transitions away from dependency on CHUMS.	N/A
2018-OE-0004	8/13/2018	4	Continue to develop required ONAP-LOS capabilities using cloud environments as appropriate.	N/A
2018-OE-0004	8/13/2018	5	Coordinate and participate in resolving all open recommendations from evaluation report IT System Management and Oversight of the Section 184 Program (2018-OE-0004).	N/A
			end	