

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

27 items

(See Instructions on Reverse)

TO: GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

Department of Housing and Urban Development

2. MAJOR SUBDIVISION

Office of Inspector General

3. MINOR SUBDIVISION

Office of Investigation

4. NAME OF PERSON WITH WHOM TO CONFER

George W. Pluta

5. TEL. EXT.

138 56400

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

LEAVE BLANK

DATE RECEIVED

MAR 5 1975

JOB NO.

NC - 207-75-8

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10.

11-24-75 James B. Rhoads
(Date) Archivist of the United States

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 6 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

19 FEB 1975

Russell F. Thompson

Records Officer, HUD

Date

(Signature of Agency Representative)

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p align="center"><u>Investigation Records</u></p> <p>This revised schedule for investigation records supersedes the one approved on March 25, 1963 for the Housing and Home Finance Agency - Office of the Administrator under National Archives Job NN-163-30.</p> <p><u>Copy to Agency & All FRC's 11-28-75 (AO)</u> <u>10/8/75 Change with approval of Russell Thompson.</u> <u>(J.B.W.)</u></p>		

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
Office of Inspector General

Investigation Records Control Schedule

This schedule covers all records created by the Office of Inspector General in pursuance of the investigative and inspection functions at the Headquarters and Field locations. As an aid in the application of this schedule "Headquarters" files mean those in the Office of Inspector General Records and Information Division; "Field Offices" mean those at the regional or field locations. This schedule supersedes the one approved March 25, 1963 under National Archives Job No. NN-163-30.

Item

<u>No.</u>	<u>Description of Records</u>	<u>Disposition</u>
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1. Investigation Case Files

- a. Files are set up by constituent organization within the Department of Housing and Urban Development, type of violations, and by number in consecutive order of receipt. Documentation on cases varies commensurate with governing agreements. In substance, the inclusive records consist of wage data, signed interview sheets and statements, affidavits, news clippings, exhibits, credit reports, income tax information, investigator's reports, (HUD, Justice and other), disposition reports, administrative forms controlling each case, and related correspondence.

(1) Investigation Case Files
(Other than Title I)

(a) Headquarters

(Permanent - average
1 cu. ft. per year)

PERMANENT RECORDS.

(Disposition report and
synopsis or brief of report)

(1) Remove disposition
report and synopsis or
brief of report 2 years
after case is closed and
retain in R and I Division.

(2) Offer to National
Archives 25 years after
date of record. (3)

Transfer balance of files
to Federal Records Center

Destroy 15 years after ^{2 years after} case is closed.
~~transfer.~~ case is closed.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
1.	(1) (b) Field Offices	Destroy 3 years after case is closed.
	(2) Investigation Case Files (FHA Title I)	
	(a) Headquarters (Permanent - average 1 cu. ft. per year)	PERMANENT RECORDS. (Disposition report and synopsis or brief of report) (1) Remove disposition report and synopsis or brief of report 2 years after case is closed and retain in R and I Division. (2) Offer to National Archives 25 years after date of record. (3) Transfer balance of files to Federal Records Center <i>2 years after case is closed.</i> Destroy 5 ⁷ years after <i>case is closed.</i> transfer <i>case is closed.</i>
	(b) Field Offices	Destroy 3 years after case is closed.
b.	Bulky exhibits, consisting of the originals of signed statements, documents, accounting work papers, and other evidence accumulated during an investigation which must be retained.	When case is closed: (1) Review bulky exhibits to determine which should be (a) Retained (e.g. original signed statements) and forwarded to Headquarters for inclusion in main file, or (b) Returned to those who furnished the material to OIG. (2) Destroy balance of files at once.
2.	Referral Files, consisting of matters referred to constituents or other agencies for handling, including FBI memorandums concerning irregularities; anonymous allegations; unlawful conduct in connection with FHA loans and use of inferior materials; labor violation complaints; referrals from General Services Administration, Dept. of Defense; personnel complaints; Dun and Bradstreet reports; burglaries; police reports; conflict of interest; arson; violations of specification; kickbacks; appraisals; relocation.	Destroy in agency 4 years after referral.

Item
No.

Description of Records

Disposition

Usually these cases are minor infractions of short duration. If however, a case develops, refer to Item 1.a.

3. Zero Files. This name has been given to case files relating to non-specific matters too vague or or general to form basis for investigation or inspection, or over which HUD has no jurisdiction.

Destroy in agency ^{when} after 4 years.~~old.~~

4. Inspection Case Files. These files are inspections of the quality and effectiveness of operations of Inspector General Offices in the field. Inspection case files consist of a Report File and a Work Paper File.

- a. Reports Files,, containing reports of inspection, comments on reports, follow up actions, administrative actions, processing and inspection status records and related correspondence pertaining mainly to investigations of field offices.

(1) Headquarters

Permanent. Offer to National Archives when
~~Destroy upon receipt of~~ 15 years
subsequent report. *old.*

(2) Field Offices

Destroy upon receipt of subsequent report.

- b. Work Paper File, consisting of copies of correspondence, drafts of correspondence, pencilled notes, copies of inspection reports.

Destroy upon completion of subsequent inspection.

5. Monthly summary of disposition reports of closed cases.

Destroy in agency after *when* 5 years.~~old.~~

6. Assignment records - 3X5 multi-carbon forms maintained to show to whom case is assigned and for reporting caseload activity.

a. Copy 5.

Destroy 3 years after case is closed.

b. All others.

Destroy when case is closed.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
7.	Reports.	
a.	Monthly Activity Reports, lists caseload by numbers (opened, closed on hand) classification, disposition and age of cases.	
(1)	Monthly Activity Reports submitted by Regional Offices.	
(a)	Headquarters	Destroy ^{when} after 6 months old .
(b)	Field Offices	Destroy ^{when} after 6 months old .
(2)	Summary Activity Reports for overall summary for Headquarters information. (Average 2 inches per year)	PERMANENT. Transfer to Federal Records Center ^{when} after 5 years old . Offer to National Archives after ^{when} 15 years old .
b.	Daily Work Reports. (Submitted by all investigators, Headquarters and Regional Offices); serves as an aid in computing time and cost of specific cases.	Destroy ^{when} after 1 year old .
8.	Cards and Indexes, used as devices to control files, material and information within files.	
a.	Alphabetical Main and See Cards, showing file reference and names of principals, individuals and concerns, appearing in investigative reports of correspondence.	Continuously on an 18 month cycle, destroy all obsolete or useless cards.
b.	Numerical Index of FBI Cases	Review every 2 years and destroy when obsolete.
c.	Precautionary Measures List File	Review every 2 years and destroy when action is rescinded.
9.	General Subject Files. (Program Records) including papers which document policy, procedure, and actions taken; organization and functions; reports; and OIG record copy of issuances and directives.	

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	a. Headquarters. (Average 1 cu. ft. per year)	PERMANENT. Transfer to Federal Records Center ^{when} after 4 years ^{old} . Offer to National Archives ^{when} after 15 years ^{old} .
	b. Field Offices.	Review yearly and destroy any material over 4 years old which has no more value.
10.	General Subject Files (Housekeeping Records) including papers documenting administrative functions - budget, personnel, procurement and supply, travel and transportation, and copies of other materials that do not serve as official documentation of the programs or operations of the office.	
	a. Headquarters.	Destroy when 4 years old.
	b. Field Offices.	Destroy when 4 years old.
11.	Previous Participation Experience Check. This is a request for information on individuals or firms who are making application to participate in programs of the Department.	Destroy ^{when} after 1 year ^{old} .