

Request for Records Disposition Authority

Records Schedule Number DAA-0207-2014-0002
Schedule Status Approved

Agency or Establishment Department of Housing and Urban Development
Record Group / Scheduling Group General Records of the Department of Housing and Urban Development

Records Schedule applies to Major Subdivision
Major Subdivision Office of the Inspector General
Schedule Subject HUD-OIG Simplified Records Schedule

Internal agency concurrences will be provided No

Background Information The HUD OIG Simplified Records Schedule covers all program, operations, and administrative records created by the OIG. This schedule applies to all formats and media in which records are created and maintained at OIG and authorizes the disposition of records in any media.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	2	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0207-2014-0002

Sequence Number	
1	Inspector General records Disposition Authority Number: DAA-0207-2014-0002-0001
2	Program Records
2.1	Historically Significant OIG Program Records Disposition Authority Number: DAA-0207-2014-0002-0002
2.2	All Other OIG Program Records Disposition Authority Number: DAA-0207-2014-0002-0003

Records Schedule Items

Sequence Number	
1	<p>Inspector General records</p> <p>Disposition Authority Number DAA-0207-2014-0002-0001</p> <p>The substantive records of official activities of the Inspector General as an individual that document the policies and programs of HUD OIG, including correspondence, memoranda, project files, subject files, studies, decisions, meeting minutes, speeches, public communications, briefing books, schedules of official activity, Congressional relations, and all external/public/substantive reports, including the Semi-Annual Reports to Congress and the final reports for all audits. These records include those records that originate with or are created and signed by the Inspector General; that include significant notes to the file made by the Inspector General; or that contain substantive information created or received relating to official activities of the Inspector General. Excluded are the personal papers of the Inspector General as well as the routine records described in items #3-4 below</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-207-91-2 / 1/a N1-207-91-2 / 2/a N1-207-91-2 / 3/a</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off annually or when the incumbent leaves office.</p> <p>Transfer to Inactive Storage Transfer to off-site storage in five-year blocks for storage/pre-accessioning.</p> <p>Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after cutoff</p> <p>Additional Information</p>

What will be the date span of the initial transfer of records to the National Archives? **Unknown pre-2011 records from previous IGs**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	1 MB
Paper	5 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

Program Records

Records containing information relating to the official activities of the program offices within the Office of the Inspector General, including the case files for strategic projects, Audits, Investigations, Evaluations, Hotline, and Legal.

2.1

Historically Significant OIG Program Records

Disposition Authority Number **DAA-0207-2014-0002-0002**

Records of all cases that: attract national news media attention; result in Congressional investigation; or result in substantive changes to agency policies and procedures. For example, the OIG's investigation into illegal lobbying in 2014 by HUD senior officials.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **No**

GRS or Superseded Authority Citation **N1-207-90-2 / 1/a/1/a [also known as item 81a(l)a]**

Disposition Instruction

Cutoff Instruction Cutoff 2 years after the case is closed and no further actions are pending.

Transfer to Inactive Storage Transfer to off-site storage in five-year blocks for storage/pre-accessioning.

Transfer Electronic Records to the National Archives for Pre-Accessioning Transfer electronic records to the National Archives for pre-accessioning 5 year(s) after cutoff

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
These are handled on a case-by-case basis.

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	10 MB	5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2.2

All Other OIG Program Records

Disposition Authority Number **DAA-0207-2014-0002-0003**

Records containing non-significant investigation and audit case files; working papers; background materials; indexes to case files; etc. Examples include routine audits of housing authorities and investigations that do not garner broad attention.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NC1-207-85-1 / 79 N1-207-99-1 / 7 N1-207-90-2 / 1/a/1/b [also known as item 81(a)(1)(b)] NC1-207-85-1 / 81/a/2 NC1-207-85-1 / 82 NC1-207-85-1 / 84 NC1-207-84-1 / 18 NC1-207-85-1 / 81/b N1-207-91-2, / 1/b N1-207-91-2 / 2/b N1-207-91-2, / 3/b NC1-207-85-001 / 81/a/1/a
Disposition Instruction	
Cutoff Instruction	Cut off 2 years after case file is closed and no further actions are pending.
Transfer to Inactive Storage	Transfer to off-site storage 2 years after the case is closed.
Retention Period	Destroy 10 year(s) after closure
Additional Information	
GAO Approval	Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/04/2014	Certify	Carmelita Bridges	Departmental Records Officer	US Dept of Housing and Urban Development - US Dept of Housing and Urban Development
01/28/2016	Return for Revision	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
02/08/2016	Submit For Certification	Cheryl Stadel-Bevans	Records Management and FOIA Officer	Office of the Inspector General - Office of Legal Counsel
03/23/2016	Certify	Carmelita Bridges	Departmental Records Officer	US Dept of Housing and Urban Development - US Dept of Housing and Urban Development
07/20/2016	Return for Revision	Darryl Byrd	Appraisal Archivist	National Archives and Records Administration - Records Management Services
07/25/2016	Submit For Certification	Cheryl Stadel-Bevans	Records Management and FOIA Officer	Office of the Inspector General - Office of Legal Counsel
09/07/2016	Certify	Carmelita Bridges	Departmental Records Officer	US Dept of Housing and Urban Development - US Dept of Housing and Urban Development
09/08/2016	Submit for Concurrence	Lisa Clavelli	Supervisor, ACNR Appraisal Team 2	National Archives and Records Administration - Records Management Services

09/08/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/08/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/09/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist