

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-207-02-4	
1 FROM (Agency or establishment) Department of Housing and Urban Development		DATE RECEIVED April 10, 2003	
2 MAJOR SUBDIVISION Office of the Secretary		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Office of Healthy Homes and Lead Hazard Control			
4 NAME OF PERSON WITH WHOM TO CONFER Gail Ward, RML0 Pauline Grant, Mgmt. Analyst	5. TELEPHONE (202) 755-1785 (202) 708-1891	DATE 7-28-03	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

6. 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 on the attached 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required; ☐ is attached; or ☐ has been requested.

DATE 4/3/03	SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i> Carmelita Bridges	TITLE Acting Departmental Records Officer
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7 ITEM NO	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
1	<p>HUD RECORDS DISPOSITION SCHEDULE 65</p> <p>OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL</p> <p>The Department of Housing and Urban Development (HUD) is proposing to add the attached record items to HUD Records Disposition Schedule 65, Office of Healthy Homes and Lead Hazard Control.</p> <p>The proposed new record items will provide descriptions and dispositions for the Enforcement and Compliance records of the Healthy Homes and Lead Hazard Control Division. These files are not used for or needed for financial matters related to HUD activities, therefore, General Accounting Office, (GAO) concurrence is not required.</p> <p>See the attached Descriptions and Dispositions for the records of the Compliance and Enforcement Division of the Office of Healthy Homes and Lead Hazard Control for your approval.</p>		<p><i>Gail O. Ward 4/3/03</i></p> <p>OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL</p> <p><i>Suzanne M. Kelly 4/2/03</i></p> <p>GENERAL COUNSEL (GC)</p> <p><i>[Signature]</i> 4/2/03</p> <p>INSPECTOR GENERAL (IG)</p>

cc Agency, NAWMD, NAWME, NAWMH, NIN etc

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
(1)	4. Reports, Studies and Publications. Consist of record copy annual or special reports required by the Secretary of HUD or Congress; program related studies either prepared by staff or by contractors; and publications such as booklets, pamphlets, tri-fold brochures, Frequently Asked Questions, and related information distribution materials. Estimated annual accumulation: 3 inches. (Supersedes NARA Job No. N1-207-97-2, item 4)	PERMANENT. Cut off at end of calendar year and place in inactive file. Break inactive file every four years and transfer 4-year block to the National Archives. (NARA No. N1-207-02-4, item 1)
(2)	5. City/Planning Records: Consist of textual reports received from the health departments of cities and counties throughout the United States. Used as background material for selecting targets for investigation. Arranged alphabetically by city name. Dates: 1999 to present. Current volume: 2 cubic feet. Estimated annual accumulation: 1 cubic foot.	Temporary. Cut off at end of calendar year in which record closes. Retire to records center 1 year after cutoff. Destroy 6 years after cut-off. (NARA Job No. N1-207-02-4, item 2.)
(3)	6. The Target List. A spreadsheet based system used to identify the property managers for potential on-site inspection of lease or sale records. A new spreadsheet is started for each incoming City/Planning Report. Used as background material for selecting targets for investigation. Dates: 1999 to present.	Temporary. Cut off at end of calendar year in which record closes. Destroy 6 years after cut-off. (NARA No. N1-207-02-4, item 3.)
(4)	7. Investigation Case Files: Consist of receipts for rent and deposits, lead based paint exposure disclosure forms, copies of leases, and other related background materials. Arrangement:	Temporary. Cut off at end of calendar year in which case is closed. Retire to records center 1 year after cutoff.

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Item No.	Description of Record	Disposition
	Alphabetical by name of management company or owner, thereunder by the property name, and thereunder alphabetical by name of primary lessee. Dates: 1999 to present. Current volume: 45 cubic feet. Estimated annual accumulation: 10 cubic feet.	Destroy 6 years after cut-off. (NARA No. N1-207-02-4, item 2 .) 4
(5) 8.	Compliance Case Files: Consist of consent decrees, hearing transcripts before the civil or administrative law judge, correspondence, an abatement project plan, and reports from independent abatement inspection firms. Dates: 1999 to Present. Current volume: 10 cubic feet. Estimated annual accumulation: 5 cubic feet.	Temporary. Cut off at the end of the calendar year in which the case is closed. Retire to the record center 1 year after cutoff. Destroy 7 years after cutoff. (NARA No. N1-207-02-4, item 5.)
(6) 9.	Compliance Monitoring Charts. Consists of spreadsheets used to track compliance with consent decree or other settlement requirements. Dates: 1999 to Present. Current volume is 100KBs. Estimated annual accumulation: 100KB.	Temporary. Cut off at end of calendar year in which associated case is closed. Destroy 6 years after cutoff. (NARA No. N1-207-02-4, item 6.)
(7) 10.	Decree Compliance Monitoring Database Index: Database for tracking and reporting case management activities. It serves as an index for the cases and tracks case actions with data fields such as date of complaint, date of inspection, settlement/consent decree date, number of dwelling impacted, case name, case number, sanction dollar amounts, property address and names of owners, final actions taken, and others. Dates: 1999 to Present.	

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Item No.	Description of Record	Disposition
(7a)	10-a Master Data File:	Temporary. Delete or overwrite when no longer needed for administrative, fiscal or legal reference. (NARA No. N1-207-02-4, item 7a)
(7b)	10-b Textual Documentation. Contains data dictionaries, program codes and record layouts for the data fields, user manuals, glossaries for program terms and acronyms, and related materials.	Temporary. Destroy, delete, or overwrite when superseded or obsolete. (NARA No. N1-207-02-4, item 7b)
(7c)	10-c Outputs. Regular and ad hoc reports	Temporary. File in appropriate record series or destroy or delete when no longer needed for administrative, legal, fiscal, or reference purposes, as applicable. (NARA No. N1-207-02-4, item 7c)
(7d)	10-d Back-up Files.	Temporary. Destroy or delete when superseded or obsolete. (NARA No. N1-207-02-4, item 7d)

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OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL

Item No.	Description of Record	Disposition
(8) 11.	Statement of Inadequate Capacity (SIC) and Transition Implementation Plans (TIP). This is a closed series containing statements by jurisdictions documenting their localities' inadequate capacity to meet regulatory requirements to build capacity in lead-safe work practices for workers performing rehabilitation or maintenance in Federally assisted housing, training for risk assessors, and abatement contractors as prescribed in Rule 1012. Also contains transition implementation plans documenting the jurisdictions' good faith efforts to build capacity, correspondence, forms, and related materials. Arranged by sequential number issued when the SICs and TIPs were received. Dates: September 11, 2000 – January 10, 2002. Total Volume: Approximately 35 cubic feet.	Temporary. Retire to records center immediately. Destroy after January 10, 2008. (NARA No. N1-207-02-4, item 8.)
(9) 12.	Electronic Copies. Electronic version of records created by electronic mail and/or word processing applications for the series contained in this schedule and/or the series scheduled in N1-207-97-2, to cover all currently scheduled records of the Office of Healthy Homes and Lead Hazard.	
(9a) 12-a	Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.	Temporary. Delete within 180 days after the record keeping copy has been produced. (NARA No. N1-207-02-4, item 9a.)

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Item No.	Description of Record	Disposition
(9b)	12-b. Copies used for dissemination, revision or updating that are maintained in addition to the recordkeeping copy.	Temporary. Delete when dissemination, revision, or updating is complete. (NARA No. N1-207-02-4, item 9b.)

Duplicative, fragmentary, nonrecord materials and items covered by the General Records Schedule may be disposed of without further permission from the Department of Housing and Urban Development.

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1 FROM (Agency or establishment) Department of Housing and Urban Development		DATE RECEIVED <u>1/17/02</u>	
2 MAJOR SUBDIVISION Office of the Secretary		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3. MINOR SUBDIVISION Office of Healthy Homes & Lead Hazard Control			
4 NAME OF PERSON WITH WHOM TO CONFER Gail Ward, RML0 Pauline Grant (Records Mgmt.)	5. TELEPHONE (202) 755-1785 (202) 708-1891	DATE	ARCHIVIST OF THE UNITED STATES

6. 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 on the attached 2 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,



is not required;



is attached; or



has been requested.

DATE <u>1/8/02</u>	SIGNATURE OF AGENCY REPRESENTATIVE Brenda Smoot <i>Brenda Smoot</i>	TITLE Departmental Records Officer
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7 ITEM NO.	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>HUD RECORDS DISPOSITION SCHEDULE 65</p> <p>OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL</p> <p>HUD is proposing to add the attached items 4 and 5 to HUD Records Disposition Schedule 65, Office of Healthy Homes and Lead Hazard Control.</p> <p>The proposed addition will provide records disposition standards for the Compliance and Enforcement Records. See the attached Descriptions and Dispositions for the Compliance and Enforcement Records.</p>	<p><i>Gail N. Ward</i> 1/3/02 OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL</p> <p><i>Patricia A. Nash</i> 1/3/02 GENERAL COUNSEL (GC)</p> <p><i>Channon L. Brantley</i> 1/2/02 INSPECTOR GENERAL (IG)</p>	

RECORDS DISPOSITION SCHEDULE 65

OFFICE OF HEALTHY HOMES AND LEAD HAZARD CONTROL RECORDS

Item No.	Description of Record	Disposition
	2) Annual Reports. Consists of all required Annual Reports either by the Secretary of HUD, the Congress, etc.	PERMANENT. Break file at end of calendar year. Transfer to the National Archives 3 years after file break. (NARA Job N1-207-97-2, item e.2))
4 . Compliance		
a.	Statement of Inadequate Capacity (SIC's) and Transition Implementation Plans (TIP's). Consist of the record copy of the guidelines and regulations enforced by the Lead Disclosure Rule and the Lead Safe Housing Rule. Letters from Mayors, State, city, and county representatives, who have requested extensions to troubled properties exposed to lead	PERMANENT. Remove superseded or obsolete issuances to inactive file, annually at the end of each calendar year. Break inactive file every four years and transfer to National Archives. (NARA Job N1-207-97-2, item 2a)
5 . Enforcement		
a.	Leases. Consist of tenant leases, lead-based paint inspections, lead-based paint abatement plans, draft settlement agreements, final settlement agreements, legal correspondence, and annual reports.	Temporary. Cut off at the end of calendar year in which case is closed. (NARA Job N1-207-97-2, item 5a)