

Reqd NCR 22 AUG 79

REQUEST FOR RECORDS DISPOSITION AUTHORITY  
(See Instructions on reverse)

LEAVE BLANK
JOB NO <b>NCI-207-79-13</b>
DATE RECEIVED <b>22 AUG 1979</b>
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10
<i>10-25-79</i> Date <i>acting</i> <i>James S. O'Neil</i> Archivist of the United States

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 Assistant Secretary for Housing-Federal Housing Commissioner

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
Sadie R. Dixon

5. TEL EXT  
755-5200

6 CERTIFICATE OF AGENCY REPRESENTATIVE

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 7 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

A Request for immediate disposal.

B Request for disposal after a specified period of time or request for permanent retention.

C DATE <i>8/20/79</i>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E. TITLE <u>Departmental Records Management Officer</u>
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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	Records Schedule 7, Records Relating to Property Disposition.  This schedule provides disposition instructions for all Headquarters and Field Office records relating to the Department of Housing and Urban Development property disposition activities. This document supersedes previously approved Records Schedule 7, Property Disposition Records, dated 6/74. The development of some of the standards may be traced through Archives Job No. NN-168-14, approved September 19, 1967. This schedule also supersedes the items found in Handbook 2225.6, Records Disposition Management-HUD Records Schedule, conversion table attached.		<i>33 items</i>

115-10  
*Copy to agency*  
*82 11/1/79*  
*copy to KCS*  
*11-21-79*

MASS DATA CHANGE LISTING

NCl-207-79-13

Old Disposal Authority	Old Retention Period	New Disposal Authority	New Retention Period	Net Diff. in No. Yrs. (+ or -)	Miss Chg.	Per. Chg.
2225.6/1/31	Destroy 3 years after the close of the calendar year of the sales closing or upon conclusion of any unresolved dispute, whichever is later.	2225.6/7/18	Destroy 3 years after the close of the calendar year of sales closing or upon conclusion of any or all disputes, whichever is later.	± 0		X
2225.6/1/32	Destroy 3 years after the close of the calendar year of the sales closing or upon conclusion of any unresolved dispute, whichever is later.	2225.6/7/18	Destroy 3 years after the close of the calendar year of sales closing or upon conclusion of any or all disputes, whichever is later.	± 0		X
2225.6/1/35	Destroy after cancellation of related broker's agreement.	2225.6/7/28	Apply provisions of General Records Schedule 6, Item 1b (Destroy 3 years after the period of the account.)			X

RECORDS RELATING TO PROPERTY DISPOSITION

CONVERSION TABLE

<u>NEW SCHED. 7</u>	<u>OLD SCHED. 7</u>	<u>OLD SCHED. 17</u>	<u>OLD SCHED. 1</u>	<u>OLD SCHED. 35</u>
<u>ITEM #</u>	<u>ITEM #</u>	<u>ITEM #</u>	<u>ITEM #</u>	<u>ITEM #</u>
1	5			
2				
3	X			
4	6			
5	3			
6		20		
7				
8a				
b		24		
9				
10				
11				
12				
13				
14				40
15	9			
16	10			
17				
18			31 & 32	
19			33	
20				
21				
22	19			
23				
24				
25				
26				
27				
28				35

1 and 2 covered by new  
Administrative Records  
Schedule.

7, 11, & 13 covered by General  
Records Schedule.

14 and 15 obsolete.

17 and 18 no longer created.

[Amended by R. Wire  
per S. Dixon 10/18/79]

## Records Disposition Schedule 7

## Records Relating to Property Disposition

This schedule provides disposition instructions for all Headquarters and Field Office records relating to the Departments' property disposition activities. This schedule supersedes previously approved Records Schedule 7, Property Disposition Records, dated 6/74. It also includes items relating to Property disposition activities from Records Schedule 1, Area and Service Office Records, Schedule 17, Management Division Records, Schedule 35, Records Relating to Low Rent Program.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
1.	General subject correspondence pertaining to the administration and management of all aspects of property disposition.	Break files annually. Destroy when 3 years old.
2.	Chronological files pertaining to the administration and management of all aspects of property disposition.	Break files annually. Destroy when 3 years old.
3.	Reference copies of opinions, policy and procedural issuances, interpretations, informational releases and publications, and any related published materials.	Destroy when superseded or obsolete, or when no longer needed.
4.	General subject files (facilitative and housekeeping records).	Use applicable General Records Schedules.
5.	Records of Headquarters and Field Office Property Disposition Committee actions (minutes). These records constitute the basis of the public offering and acceptance or rejection of bids and the execution of all relevant documents and instruments, including instruments of conveyance.	
	a. Signed originals of Committee Actions (Minutes).	Maintain originals of actions (minutes), together with approved copies of the disposition. (Cont.)

## Appendix 7

## Records Disposition Schedule 7

## Records Relating to Property Disposition

[Amended by R. Wire  
per S. Dixon, 10/18/79]

Item No.	Description of Records	Disposition
5. (continued)	<p>program for each project in the official records of the office approving the disposition program.</p> <p><del>Retain for 3 years</del> following the termination of the Secretary's interest in the transaction, or 10 years following a sale in which an insured mortgage, or mortgage taken back by the Secretary is involved, <del>then destroy.</del></p> <p>b. All other <del>reference</del> copies.</p>	<p>Destroy <sup>A</sup> <del>Retain for 3 years</del> following the termination of the Secretary's interest in the transaction, or 10 years following a sale in which an insured mortgage, or mortgage taken back by the Secretary is involved, <del>then destroy.</del></p> <p>Destroy when no longer needed <del>for reference.</del></p>
6.	<p>Contracts related to acquired properties. These files include contracts for goods and services related to the rehabilitation, repair, rental, maintenance, management, and demolition of acquired properties, and related data and correspondence including credit reports.</p>	<p>Apply provisions of General Records Schedule 3, Item 4.</p>
7.	<p>Credit Reports on other than successful bidders.</p>	<p>Destroy 6 months after date of credit report.</p>
8.	<p>Bid Files.</p> <p>a. Successful and Unsuccessful Bids.</p> <p>b. Lists <sup>of</sup> <del>of</del> card indices <sup>(s)</sup> of acceptable bidders.</p>	<p>Apply provisions of General Records Schedule 3, Item <del>6a.</del></p> <p><del>Destroy when superseded or obsolete.</del> Apply provisions of General Records Schedule 3, Item 6b.</p>

## Records Disposition Schedule 7

## Records Relating to Property Disposition

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
9.	"Bidder Kits." Kits prepared by Office of Multifamily Financing and Preservation.	Destroy after sale of property involved.
10.	Contractors' Payroll Files and Employee Interview Records. These records are required under the Davis Bacon Act and Copeland Act and contain certified payrolls and statements of compliance of contractors.	Apply provisions of General Records Schedule 3, Item 12.
11.	Performance Record File on Repair Contractors. These files contain qualification and performance data and a log of outstanding contracts and all affiliated concerns.	Destroy 1 year after contractor is placed in inactive status.
12.	Minority Goals and Small and Large Business Records. The records are necessary to promote minority participation and to report on Government expenditures as required by General Services Administration.	Destroy when 3 years old.
13.	Solicitation Ledger for formal contracts and Purchase Order Log for Purchase Orders. A record of solicitation is required by the Federal Property Regulations.	Destroy 6 years after date of last entry
14.	Case files of documents and correspondence relating to the disposition of real and related personal property by sale or other method of disposition.	
	a. Federally owned projects.	Transfer to a Federal Records Center 2 years after HUD is divested of title. Destroy 6 years after the Government

## Records Disposition Schedule 7

## Records Relating to Property Disposition

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		no longer has any interest, including reversionary interests or reserved mineral rights.
	b. Locally owned projects.	Transfer to a Federal Records Center 2 years after the action is recorded. Destroy 6 years after the action is recorded and any HUD financial interest is liquidated.
15.	Headquarters Property Disposition Master Files related to groups of individually insured single family properties (four or more), located in the same sub-division or area, that are acquired by the Secretary.	Transfer to Federal Records Center 1 year after sale of last property. Destroy 3 years after sale of last property.
16.	Headquarters Property Disposition Multifamily Housing Project Master and Sales File. Files relate to properties acquired by the Secretary.	Transfer to Federal Records Center 1 year after sale of property. Destroy 6 years after sale of property.
17.	Headquarters Property Disposition Acquired Multifamily Property Card File.	Review annually and destroy cards no longer needed.



Records Disposition Schedule 7

Records Relating to Property Disposition

Item No.	Description of Records	Disposition
18.	<p>Field Office Individual Property Files and Project Master Files Involving Properties Sold for All Cash (with or without insured mortgage financing) and the Residential Field Office Files Involving Properties Sold With Secretary-Held Mortgages.</p> <p>These files relate to the acquisition, management, rental, operation, repair, and disposition of properties conveyed to or otherwise in the custody of the Secretary.</p>	<p>Transfer to a Federal Records Center (a) 1 year from the date of closing; or (b) upon conclusion of any or all disputes, whichever is later. A carefully prepared shelf list must be maintained for easy recall without delay in case the files are needed. <u>NOTE:</u> If the volume of sales activity warrants, files may be transferred to the Federal Records Center 6 months after sales closing, provided all post-closing complaints or disputes have been reconciled. Destroy 3 years after the close of the calendar year of sales closing or upon conclusion of any or all disputes, whichever is later.</p>
19.	<p>Property Acquisition Register (Form HUD-9501). This register provides a numerical listing of properties acquired by HUD and includes the FHA case number, address of the property, date acquired and date sale was closed.</p>	<p>Destroy 3 years after last sales closing entry.</p>
20.	<p>Sales Broker Non-discrimination Certification (Form HUD-9556). These certifications of non-discrimination are required of sales brokers participating in the sale of HUD-owned or Department of Defense Properties.</p>	<p>Destroy 1 year from date of execution or when superseded.</p>

ER.W. per S.D. 10/18/79



## Records Disposition Schedule 7

## Records Relating to Property Disposition

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
21.	Field Office Log and Internal Review of Supervision of Area Management Brokers. This file contains logs and related internal reviews with supporting data of local office supervisory personnel connected with the monitoring of Area Management Brokers.	Destroy when 1 year old.
22.	Property Disposition Program Correspondence, reports and documents relating to the Property Disposition Program such as Form HUD-9505, Acquired Home Properties Monthly Report.	
	a. Headquarters copies	Destroy 3 years after date of report.
	b. All other copies	Destroy 1 year after date of report.
23.	Field Office Copies of Documentation of Joint Federal Housing and Veterans Administration Meetings. These files are maintained to document joint FHA/VA meetings concerning cooperative efforts toward the disposition of acquired properties. Includes correspondence and agreements between FHA/VA concerning pricing, repairs, rental and related activities.	Destroy 2 years after termination of applicable agreements.
24.	Tenant record card used in connection with the Lease With Option to Purchase Program.	At the termination of the lease, insert the card in the property file case binder and destroy in accordance with disposition instructions for the Property File, Item 18, of this schedule.



Records Disposition Schedule 7

Records Relating to Property Disposition *[Amended by R. Wire per S. Dixon 10/18/79]*

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
25.	Cost Monitoring Reports provided to review repair, maintenance and operating costs and losses.	Destroy when superseded or obsolete or when 3 years old, whichever is later.
26.	Property Record Cards (Forms HUD-9502 and 9503). These are cards used to maintain status of properties in inventory and historical data concerning sold properties.	Destroy 3 years after sales closing.
27.	Supervision of Area Management Brokers File. These files contain inspection reports, correspondence and work sheets relating to brokers' performance and non-performance in all areas of brokers' activities.	<sup>a</sup> Destroy upon termination of the applicable contract unless contract has been terminated for cause. <sup>b</sup> If contract has been terminated for cause, retain for 1 year or conclusion of any or all disputes, whichever is later,
28.	Area Management Broker and Project Manager Accounting Reports (Form HUD-2700 series) Field Office Copies. <sup>AV</sup> Field Office includes copies of brokers' reports of occupancy, disbursements, leases, past due rental accounts, file Field Office certifications, and summary of operations, and related correspondence concerning each Area Management Broker and Project Manager Contract. The files are maintained for local Office supervision of brokers' activities.	Apply provisions of General Records Schedule 6, Item 1b.