

50

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

items

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 Management

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Bruce H. Vincent

5. TEL. EXT.

755 6700

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

LEAVE BLANK	
DATE RECEIVED OCT 24 1975	JOB NO. NC-207-76-4
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.	
1-20-76	<i>James B. Rhoads</i>
(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 15 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

10-21-75 *Russell F. Thompson*
Date (Signature of Agency Representative)

HUD Records Officer

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>REVOLVING FUND (LIQUIDATING PROGRAMS) RECORDS</p> <p>This schedule provides disposition instructions for records of programs that are in liquidation that have been transferred to the HUD Revolving Fund.</p> <p>This schedule supersedes the following schedules of HUD and its predecessor agency Housing and Home Finance Agency - Office of the Administrator:</p> <ol style="list-style-type: none"> Accelerated Public Works Program, Job No. NN-165-59, approved 5-13-65. Advances for Public Works Planning Program, Job No. NN-166-137, approved 3-14-66. Alaska Housing Program, Job No. NN-166-115, approved 3-14-66. Lanham Act War Public Works Program, Job No. II-NN-3454, approved 9-26-61. Public Facility Loan Program and Defense Community Facilities and Services Program, Job No. II NNA-3141, approved 3-1-60. 		

Changes approved by R. Thompson 1-5-76

Copy to Agency & All FRC's 1-22-76 AD

Russell F. Thompson

RECORDS SCHEDULE 16

REVOLVING FUND (LIQUIDATING PROGRAMS) RECORDS

The Revolving Fund (Liquidating Programs) was established by the Independent Offices Appropriation Act of 1955 to provide a single fund to assist in the efficient liquidation of assets under various housing and urban development programs. The assets of certain war and emergency housing constructed under the Lanham and related Acts, Alaska Prefabricated Housing, War Public Works, Defense Community Facilities, and Reconstruction Finance Corporation Public Agency Loan Programs were initially included in this fund. At the end of FY 1970, the Public Works Planning Advances, Grants to Aid Advance Acquisition of Land, the Accelerated Public Works Program, and the Alaska Housing Grants and Loans Programs were terminated and the assets were transferred to this fund for liquidation.

Pursuant to Section 117 of the Housing and Community Development Act of 1974, which provides for the transfer for liquidation of community development programs, the Grants for Basic Water and Sewer Facilities, Grants for Neighborhood Facilities, the Open Space Land Program, and the Public Facility Loans Program will be transferred in 1975. The Rehabilitation Loan Program will be transferred subsequent to its termination in FY 1976 as provided in the Act. The Assistant Secretary for Community Planning and Development will retain the responsibility for monitoring these programs until they have been officially transferred to the Revolving Fund for liquidation. The Assistant Secretary for Housing Management will be responsible for monitoring programs transferred to the Revolving Fund.

This schedule covers records accumulated by the Department of Housing and Urban Development, and predecessor agencies, for the following Revolving Fund Programs whether located in the Headquarters Office or field locations.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
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A. GENERAL PROGRAM RECORDS

The records described under Section A are common to more than one program. All programs do not have all records described under this Section. Use these items for disposition of appropriate records of all programs. For disposition instructions for other records, see items listed under the specific programs.

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| 1. | Chronological Files. These are temporary non-record files used for reference. | Destroy after 3 years. ^{when 3 years old.} |
|----|---|--|

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
2.	General Subject (Program) Files consisting of basic statues, legislative proposals, legal opinions, Congressional statements, organization charts, termination of functions, delegations of authority, redelegations, policy statements, operating procedures and instructions, accounting and fiscal reporting, sample copies of forms, agendas and minutes of meetings, decisions and recommendations, reports, contracts, agreements, memorandums of understanding, and studies.	
a.	Headquarters Office Files. (1 cu. ft. per year)	PERMANENT. Offer to National Archives upon completion of program.
b.	All other files including Area and Regional Offices.	Destroy when file is 4 years old.
3.	General Subject Files. (Housekeeping Records)	Use applicable GSA Records Schedules.
4.	Administrative Procedures, Informational Releases and Publications consisting of dissemination of informational and promotional material including press releases, speeches, handbook issuances, publications, and similar material	
a.	Headquarters Office Files.	Retain one complete set of each type of issuance for offer to National Archives upon completion of program.
b.	All other files including Area and Regional Offices.	Destroy when superseded or obsolete. Review every 3 years and destroy when superseded or obsolete.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
5.	Requisition files. Area and Headquarters Office Files.	Destroy 3 years after final disbursement and satisfactory close of final audit.
6.	Construction Contract Documents. Area and Headquarters Office Files.	Destroy 3 years after satisfactory settlement of contract and close of final audit.
7.	Bond Transcript Documents. Area and Headquarters Office Files.	Destroy 3 years after all bonds purchased have been redeemed, and all agreements terminated. When long-term government loan is rescinded by sale of bonds to private investor, the record set of bond transcript documents shall be released to private investor upon completion of sale.
8.	Withdrawn, Cancelled, Disapproved or Deferred Applications and related correspondence.	Destroy 3 years after Withdrawal, cancellation, disapproval, or deferral.
9.	Project Control Record consisting of individual applicant status record documenting actions taken from application to project completion stage. Area Office Files.	PERMANENT. Send as a

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
(20 cu. ft. total)		complete unit 1 year after liquidation to Paperwork Management Branch for offer to the National Archives.
10.	Progress Record Cards maintained in various organizational units.	Destroy 2 years after recording final action on card.
11.	Contractors' Payrolls, consisting of weekly payrolls, with related certifications.	Destroy 6 months after final project inspection unless wages or other matter involving the payrolls are in dispute or question, in which instance destroy after case is satisfactorily closed.
12.	Field Engineers' Project Records.	Destroy 1 year after satisfactory completion of contract and final settlement.
13.	Field Engineers' General Subject Files.	Destroy when material has no further reference need, or when obsolete. Review every 3 years.

B. ADVANCES FOR PUBLIC WORKS PLANNING PROGRAM

This schedule covers records under the Advances for Public Work Planning Program under the First Advance Planning Program, Public Law 78-458 (Title V of the War Mobilization and Reconversion Act of 1944); the Second Advance Planning Program, Public Law 81-352; the Public Works Planning Program authorized by Section 702 of the Housing Act of 1954, Public Law 83-560 and the Housing Amendments of 1955, Public Law 84-345; Section 602 of the Housing Act of 1964, Public Law 88-560; Section 6 of the Public Works Acceleration Act of 1965, Public Law 87-658; the Housing and Urban Development Act of 1965, Public Law 89-117. (This was HUD Records Schedule 16 - NN-166-137, approved 3-14-66).

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
14.	<p>Cases Files.</p> <p>Repaid or refunded advances (including Justice Department settlements), advances where liability for repayment is terminated, advances with agreements terminated where there is no reasonable likelihood that the public work or portion of the public work will be constructed, and advances where liability for repayment is canceled for facilities constructed with an Accelerated Public Works Program grant.</p>	
	<p>a. Fiscal Files.</p> <p>Regional Office Files.</p>	<p>Destroy 3 years after close out of project or satisfactory audit if sooner.</p>
	<p>b. Program Files.</p> <p>Area and Headquarters Office Files.</p>	<p>1) Destroy 1 year after satisfactory settlement of account or final audit if sooner.</p> <p>2) Headquarters will select two case files for each five year period for offer to National Archives. <i>Cases shall be selected from small and large localities on a nationwide basis representing the various types of facilities planned under the program.</i></p>
15.	<p>Case files relating to unpaid advances, where the liability has not been terminated, where the agreements have not been terminated, or where a compromise settlement has not been made.</p>	
	<p>Area and Headquarters Office Files.</p>	<p>PERMANENT. When advances are repaid, liability and agreements termi-</p>
	<p>(60 cu. ft. total)</p>	

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
		nated, or where compromise settlements are made, follow instructions in 14(a) and (b). <i>Transfer inactive case files to Federal Records Center 3 years after date of latest document in folder.</i>
	C. PUBLIC FACILITY LOAN PROGRAM AND DEFENSE COMMUNITY FACILITIES AND SERVICES PROGRAM	
	This schedule covers records under the Public Facility Loan Program and Defense Community Facilities and Services Program under Title II, Public Facility Loans, of the Housing Amendments of 1955, Public Law 84-345; the Defense Housing and Services Act, Public Law 83-163. (This was HUD Records Schedule 21 - II NNA-3141, approved 3-1-60).	
16.	Application and Loan Agreement Files.	
	a. When long-term government loan is rescinded by sale of bonds to private investor.	
	Area and Headquarters Office Files.	Destroy 3 years after loan is rescinded.
	b. Projects partially or wholly financed with Federal funds through bond purchase agreements.	
	Area and Headquarters Office Files.	Destroy 3 years after all bonds purchased have been redeemed, or sold, and loan agreement terminated.
	c. Projects receiving Federal grant only (no Federal loan--Defense Community Facilities Program).	
	Area and Headquarters Office Files.	Destroy 3 years after close of final audit.
17.	Correspondence relative to any stage of the project consisting of communications of transmittal, acknowledgments, travel and appointments, notices of	

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	meetings and attendance, and other communications of obvious transitory value.	
	Area and Headquarters Office Files.	Destroy when 2 years old.
18.	Loan Servicing Files -- established only when bonds are purchased by the Federal government.	
a.	Documentation between HUD and borrower evidencing borrower's understanding and agreement to continue compliance with covenants and pledges of loan documents; non-compliance with requirements of loan agreement or bond resolution.	
	Area and Headquarters Office Files.	Destroy 3 years after repayment of the loan and termination of loan agreement.
b.	Correspondence including acknowledgements and transmittals, and other communications of obvious transitory value not affecting status of loan repayment.	
	Area and Headquarters Office Files.	Destroy after 2 years.
c.	Reports consisting of initial, annual, and special reports submitted by borrower or auditor to HUD.	
	Area and Headquarters Office Files.	Destroy 3 years after exceptions have been satisfactorily resolved. If no exceptions, retain current and previous year's report.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
D. ACCELERATED PUBLIC WORKS PROGRAM		
<p>This schedule covers records under the Accelerated Public Works Program under the Public Works Acceleration Act, Public Law 87-658. (This was HUD Records Schedule 30 - NN-165-59, approved 5-13-65).</p>		
19.	Application and Grant Agreement Files.	Destroy.
E. ALASKA HOUSING PROGRAM		
<p>This schedule covers records under the Alaska Housing Program under the Alaska Housing Act, Public Law 81-52, as amended. (This was HUD Records Schedule 33 - NN-166-115, approved 3-14-66).</p>		
20.	<p>Case Files consisting of applications, Agency examiner reports, review committee recommendations, articles of incorporation, by-laws, financial statements, resolutions, minutes of meetings, disbursement procedures, loan authorizations, bond purchase agreements and resolutions, abstract of title, progress payments, certifications, depository agreements, opinion of counsel, insurance policies, progress reports, appointment of receiver, receiver's reports, proposal for sale of property, and related correspondence.</p>	
	a. Headquarters Office Files.	
	(1) Application, Agency review reports and recommendations, final progress report, evidence of settlement or repayment. (6 cu. ft. total)	PERMANENT. One year after liquidation of program, offer to National Archives.
	(2) All other records.	Destroy 3 years after settlement, repayment, or refunding of loan.
	b. Regional Office and Alaska Representative Files.	Destroy 3 years after settlement, repayment, or refunding of loan.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
21. Title Papers and Property Documents.		
a.	Papers documenting acquisition of real property by foreclosure or otherwise.	Destroy 10 years after unconditional sale or release by the Government without continuing conditions, restrictions, mortgages, or liens.
b.	Quitclaim deed and bill of sale transferring property to Alaska State Housing Authority.	PERMANENT. After release by the Government, offer to National Archives.
c.	Original deed of trust notes and trust on Nunaka Valley properties securing the Alaska State Housing Authority refunding bonds are held in trust for the Federal Government by the Alaska State Housing Authority.	
	Copies of closing settlement sheets, deed of trust notes, quitclaim deeds and deed of trust on Nunaka Valley lots and dwelling units conveyed to individual purchasers prior to the transfer of the Anchor Park project to the Alaska State Housing Authority by May 1, 1960 quitclaim deed.	Destroy 6 years after transfer of property to individual purchasers.
22. Bond Refunding Documents consisting of By-Laws, minutes of meetings, resolutions, and certificates of the Alaska State Housing Authority; bond refunding agreement, assignment of deeds of trust, and opinion of counsel. (1 cu ft. total)		PERMANENT. After liquidation of program, offer to National Archives.
23. Loan Management File.		
a.	Substitution of liability, trustee, moratorium of principal	Destroy 3 years after repayment of loan and

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	payments, repayment of loan and interest, and compliance with covenants and pledges of bond refunding agreement.	termination of agreement.
b.	Correspondence including acknowledgements and transmittals, and other communications of obvious transitory value not affecting status of loan repayment.	Destroy after 2 years.
c.	Reports including Report of Delinquent Deeds of Trust, Contracts, and Mortgages securing refunding bonds, and Alaska State Housing Authority Audit Reports.	Destroy 3 years after exceptions have been satisfactorily resolved. If no exceptions, retain current and previous year.

F. ADVANCE ACQUISITION OF LAND PROGRAM

This schedule covers records under the Grants to Aid Advance Acquisition of Land Program under Section 704 of the Housing and Urban Development Act of 1965, Public Law 89-117.

24. Application and Grant Files consisting of: applications and supporting documents; grant contracts with waivers of amendments; allocation orders; fund reservations; review reports and recommendation; requisitions; bid and contract documents; final completion and inspection reports; certificate of final completion; and final project cost, trip, relocation, and audit reports; and related correspondence.

Section 704(c) and (d) of the Housing and Urban Development Act of 1965 require that land acquired shall be utilized for a public purpose within 5 years after a contract is entered into and prohibit the conversion of

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	acquired land to other uses without approval of the Secretary. The records are required for information on the original and subsequent approved land use.	<i>Transfer to the Federal Records Center 3 years after the satisfactory contract settlement.</i>
	Area and Headquarters Office Files.	PERMANENT. Review files and statutory requirements in 1995 <i>to determine if the law has been amended to allow destruction of the folders.</i>
	(20 cu. ft. total)	
	G. LANHAM ACT WAR PUBLIC WORKS PROGRAM	
This schedule covers records under the Lanham Act, P.L. 849, as amended. This was HHFA-OA Schedule 14 - II NN-3454, approved 9-26-61).		
25.	Microfilm reels of project records containing land acquisition, application and loan agreement, priority determinations, construction, and fiscal records filmed under the microfilm and disposal arrangement initiated in 1946.	
	Headquarters Office Files.	PERMANENT. Offer to National Archives when all property has been sold, transferred or disposed of.
	(20 cu. ft. total)	
26.	Fiscal preconstruction, and construction material on projects which have been sold, transferred, or otherwise disposed of.	Destroy.
27.	Title papers and property documentation.	
	a. Papers documenting acquisition of real property by purchase, donation, condemnation, exchange, or otherwise.	Destroy 10 years after unconditional sale or release by the Government without continuing conditions, restrictions mortgages or liens.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
b.	Abstracts of title.	Transfer to purchaser after unconditional sale or release by the Government without continuing conditions, restrictions, mortgages or other liens. If <u>transfer of abstract has not been effected</u> , destroy after satisfactory settlement of the continuing conditions referred to above.
c.	Bill of sale and quitclaim deed. (2 cu. ft. total)	PERMANENT. Offer to National Archives after program is liquidated.
d.	Property Management records, consisting of leases, transfer, inspection reports, property receipts, insurance coverage, offer to purchase, acceptance of offer, and approval documents.	Destroy 7 years after termination of agreements and transfer of property to other Federal or local public agencies.
28.	President's books consisting of justification and recommendations from the Office of Education, Surgeon General, and Federal Works Agency for approval of facility; President's approval and information summary sheet. (13 cu. ft. total)	PERMANENT. Offer to National Archives after program is liquidated.
29.	Loan servicing file (established only ^{when} the bonds are purchased by the Federal Government) containing documentation between Regional Administrator, trustees, and borrower, evidencing borrower's understanding and agreement to continue compliance with covenants and pledges of loan	Destroy 3 years after all bonds purchased have been redeemed or sold and all agreements terminated.

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	documents; noncompliance with requirements of loan agreement or bond resolution.	
H. PREFABRICATED HOUSING LOANS PROGRAM		
This schedule covers records under the Veterans' Emergency Housing Act of 1946, P.L. 388 and the Housing Act of 1948, P.L. 464 relating to Prefabricated Housing Loans transferred from the Reconstruction Finance Corporation by Reorganization Plan 23 of 1950. (347-S58, approved 9-17-46).		
30. Application and Loan Files.		
a.	Applications, examiners' reports, release deeds evidencing repayment, satisfaction or settlement of mortgage; and bills of sale and quitclaim deeds on property acquired through foreclosure and disposal by Federal Government. (20 cu. ft. total)	PERMANENT. Offer to National Archives after program is liquidated.
b.	Financial statements, balance sheets, profit and loss statements, credit reports; loan authorizations and amendments, minutes of meetings; preliminary reports; certificates of insurance, fire insurance policies, power of attorney, and related correspondence.	Destroy 6 years after date of final payment, settlement or liquidation of loan.
I. RECONSTRUCTION FINANCE CORPORATION LOANS PROGRAM		
This schedule covers Reconstruction Finance Corporation loans with States, municipalities, public agencies, and public bodies and loans for drainage and irrigation projects transferred by Reorganization Plan No. 1 of 1957. (347-S58, approved 9-17-46).		
31. Application and Loan Files.		
a.	Application, examiners' reports and evidence of repayment or settlement of loans (40 cu. ft. total)	PERMANENT. Offer to National Archives after program is liquidated.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
b.	Financial statements, balance sheets, profit and loss statements; loan authorizations and amendments, minutes of meetings, preliminary reports; certificates of insurance fire insurance policies, power of attorney, and related correspondence.	Destroy 6 years after date of final payment, settlement or liquidation of loan.