

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

LEAVE BLANK (NARA use only)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIRA)  
WASHINGTON, DC 20408

JOB NUMBER  
N1-207.95.1

DATE RECEIVED  
10-31-94

1. FROM (Agency or establishment)  
Department of Housing and Urban Development

NOTIFICATION TO AGENCY

2. MAJOR SUBDIVISION  
Assistant Secretaries/Equivalents; Office of Secretary

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

4. NAME OF PERSON WITH WHOM TO CONFER

5. TELEPHONE

DATE

ARCHIVIST OF THE UNITED STATES

Frances Plummer/Carol Hutzell

(202) 708-1891

9-3-96

*John W. Cal*

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 ... 11 ... 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

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

10/25/99

*Joyce C. Hamm*  
Joyce C. Hamm

Branch Chief

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>RECORDS DISPOSITION SCHEDULE 63</p> <p>RECORDS OF PRIMARY ORGANIZATION HEADS AND OTHER HIGH-LEVEL HUD STAFF</p> <p>The Department of Housing and Urban Development (HUD) is proposing the attached new HUD Records Disposition Schedule 63, "Records of Primary Organization Heads and Other High-Level HUD Staff."</p> <p>Schedule 63 will provide records disposition standards for the records of the Assistant Secretaries and equivalent officials listed in par. A on p. 1 of the attached schedule and for the records of officials in the Office of the Secretary listed in par. B on p. 1.</p> <p>The Schedule will also cover the records of the officials who occupied the now-defunct positions of Regional Administrators--Regional Housing Commissioners which formerly reported directly to the Secretary and Deputy Secretary.</p>	<p>Proposed schedule have been approved by:</p> <p><i>Mariann C. DeConti</i> 8/16/96 Office of the Secretary Mariann C. DeConti</p> <p><i>Mary Dickens</i> 6-27-96 Office of the Inspector Mary Dickens</p> <p><i>Joy Herndon</i> 6-27-96 Office of the General Counsel Joy Herndon</p> <p><i>Susan E. Elter</i> NARA appraiser</p>	<p>7-17-96 Date</p> <p>6-27-96 Date</p> <p>6-27-96 Date</p>

SEP 10 1996 *MNV*

*copy to: Agency  
NSR  
NNT  
NCF*

*Susan E. Elter*

After NARA's approval, this schedule will be incorporated into Handbook 2225.6 REV-1 as Appendix 63.

RECORDS DISPOSITION SCHEDULE 63

RECORDS OF PRIMARY ORGANIZATION HEADS  
AND OTHER HIGH-LEVEL HUD STAFF

This schedule provides records disposition standards for the records of the Primary Organization Heads and these other high-level officials of the Department of Housing and Urban Development (HUD):

**A. Primary Organization Heads (POH's) who report directly to the Secretary and Deputy Secretary. These officials include:**

Assistant Secretaries  
General Counsel  
President, Government National Mortgage Association  
(GNMA)  
Inspector General  
Chief Financial Officer  
Director, Office of Lead-Based Paint Abatement and  
Poisoning Prevention  
Director, Office of Federal Housing and Enterprise Oversight  
Secretary's Representatives

**B. Officials who occupy the following or equivalent positions in the Office of the Secretary:**

Chief of Staff  
Assistants to the Secretary or Deputy Secretary  
Executive Assistants, Special Advisors, Senior Advisors, and  
Staff Assistants to the Secretary or Deputy Secretary  
Special Assistants to the Secretary or Deputy Secretary  
Director, Special Actions Office  
Director, Office of Small and Disadvantaged Business  
Utilization  
Chief Administrative Law Judge  
Chairman, HUD Board of Contract Appeals  
Deputy Assistant Secretary for Federal Relief  
Executive Director, Interagency Council on the Homeless  
Director of Executive Secretariat  
Executive Officer for Administrative Operations and  
Management

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**A. Primary Organization Heads (POH's) who report directly to the Secretary and Deputy Secretary. These officials include:**

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General Counsel  
President, Government National Mortgage Association  
(GNMA)  
Inspector General  
Chief Financial Officer  
Director, Office of Lead-Based Paint Abatement and  
Poisoning Prevention  
Director, Office of Federal Housing and Enterprise Oversight  
Secretary's Representatives

**B. Officials who occupy the following or equivalent positions in the Office of the Secretary:**

Chief of Staff  
Assistants to the Secretary or Deputy Secretary  
Executive Assistants, Special Advisors, Senior Advisors, and  
Staff Assistants to the Secretary or Deputy Secretary  
Special Assistants to the Secretary or Deputy Secretary  
Director, Special Actions Office  
Director, Office of Small and Disadvantaged Business  
Utilization  
Chief Administrative Law Judge  
Chairman, HUD Board of Contract Appeals  
Director of Executive Secretariat

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APPENDIX 63 .

RECORDS DISPOSITION SCHEDULE 63

RECORDS OF PRIMARY ORGANIZATION HEADS  
AND OTHER HIGH-LEVEL HUD STAFF

This schedule also covers the records of the officials who occupied the now-defunct positions of Regional Administrators-- Regional Housing Commissioners which formerly reported directly to the Secretary and Deputy Secretary.

This schedule does **not** provide disposition instructions for the records of the Secretary and Deputy Secretary. Those records are covered by HUD Records Disposition Schedule 62.

Contact your Records Management Liaison Officer (RMLO) if you have any questions about:

- . Schedule 63 and how it applies to your files, or
- . whether the materials in your files are personal papers or Federal records.

When necessary, the RMLO will contact the Departmental Records Management Officer (DRMO) for advice and assistance in answering your question.

## RECORDS DISPOSITION SCHEDULE 63

RECORDS OF PRIMARY ORGANIZATION HEADS  
AND OTHER HIGH-LEVEL HUD STAFF

Item No.	<u>Description of Records</u>	<u>Disposition</u>
1.	Official Program Subject Files. Files maintained in the immediate offices of the Primary Organization Heads (POH's) and other high-level officials identified in categories A and B on page 1 of this schedule. This schedule applies to both the files maintained in the immediate offices as well as any files separately maintained by the individual POH or high-level official.	<b>Permanent.</b> Break files annually. Retire to Federal Records Center 3 years after file break, or one year after incumbent leaves office, whichever is sooner. Transfer to National Archives 5 years after file break or 3 years after incumbent leaves office, whichever is sooner.
a.	Substantive Records which may include internal memoranda, meeting notes, minutes and agendas, interagency and internal correspondence not tracked through the Executive Secretariat, notes of conversations, routing slips with substantive tasking, internal reports, briefing materials, drafts and proposals for new programs, speeches, termination of functions, decisions and recommendations, agreements, memorandums of understanding, and studies.	

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RECORDS OF PRIMARY ORGANIZATION HEADS  
AND OTHER HIGH-LEVEL HUD STAFF

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
b.	Non-substantive Records which may include copies of correspondence tracked through the Executive Secretariat, extra copies of publications and news releases, travel plans, personnel matters, routine invitations to speak and replies, routine and facilitative correspondence of a non-substantive nature and other records that do not document substantive policies and procedures of the office.	Temporary. Break files annually. Destroy 3 years after file break.
2.	Chronological correspondence files. Consist of nonrecord copies of correspondence arranged in order by date.	Use HUD Records Disposition Schedule 3, item 2, which reads: "Break file annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier."
3.	Calendars, appointment books, schedules, logs, diaries, journals, and all other records documenting meetings, appointments, telephone calls, trips, visits, and other	

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RECORDS OF PRIMARY ORGANIZATION HEADS  
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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	activities by high-level HUD officials while serving in an official capacity. This includes such records kept in electronic form, but does not include personal papers (see item 4).	
a.	Records containing substantive information relating to official activities which have not been incorporated into the official files.	<b>Permanent.</b> Break annually. Retire to Federal Records Center 3 years after file break or one year after incumbent leaves office, whichever is sooner. Transfer to National Archives 5 years after file break or 3 years after incumbent leaves office, whichever is sooner.
b.	Records (1) which document routine activities containing no substantive information, or (2) which contain substantive information that has already been incorporated into the organized files.	Destroy or delete when no longer needed. May be removed when leaving office if cleared by the appropriate Records Management Liaison Officer (RMLO). The RMLO must verify that the records are eligible to be removed under this item.

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RECORDS OF PRIMARY ORGANIZATION HEADS  
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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
4.	Personal papers and electronic files consisting of (1) papers and files created before entering Government service, (2) personal correspondence and materials not related to Government business, and 3) work-related personal papers and files. Work-related personal papers and files include diaries, journals, notes, personal calendars and appointment schedules, and nonrecord material. Extra copies of records may also be included if inclusion does not (a) diminish HUD's official records; (b) violate confidentiality required by national security, privacy, or other interest protected by law; or (c) exceed normal administrative economies.	File and maintain separately from official records. May be destroyed or deleted when no longer needed, or may be removed when leaving office if cleared by the appropriate RMLO. The RMLO must verify that the materials are eligible to be removed under this item.
5.	Office administrative files relating to the internal administrative or housekeeping activities of the office rather than the functions for which the office exists.	

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RECORDS OF PRIMARY ORGANIZATION HEADS  
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Item No.	<u>Description of Records</u>	<u>Disposition</u>
a.	Record copies of organizational charts, functional statements, and related records that document the office's organization and the functions for which it exists.	Use HUD Records Disposition Schedule 3, item 42a, which reads: "Place in inactive file when organizational change is completed. Retire to Federal Records Center when volume warrants. Destroy when 10 years old."
b.	Time and attendance records upon which leave input data is based. Includes sign-in sheets, time cards, and flexitime records.	Use General Records Schedule 2, item 7, which reads: "Destroy after GAO audit or when 6 years old, whichever is sooner." Privacy Act System of Record HUD/DEPT-34.
c.	All other records related to payroll and pay administration.	Use the appropriate items of General Records Schedule 2. Contact your RMLO for advice and assistance. Privacy Act System of Record HUD/DEPT-34.
d.	Travel orders and vouchers and all other records related to official travel.	Use the appropriate items of General Records Schedule 9. Contact your RMLO for advice and assistance. Privacy Act System of Record HUD/DEPT-37.

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
e.	All other office administrative files.	Use General Records Schedule 23, item 1, which reads: "Destroy when 2 years old, or when no longer needed, whichever is sooner."
6.	Freedom of Information Act (FOIA) and Privacy Act files.	Use General Records Schedule 14. Privacy Act requesters files are Privacy Act System or Record HUD/DEPT-52.
7.	Information requests and acknowledgment files, press service files, information project files, and commendation/complaint correspondence files.	Use General Records Schedule 14. Consumer complaint files are Privacy Act System of Record HUD/DEPT-53.
8.	Word processing files created or maintained in the offices of high-level officials identified in categories A and B on page 1 of this schedule. Word processing files consist of correspondence, reports, and other documents recorded on electronic media such as hard disks or floppy diskettes.	

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RECORDS OF PRIMARY ORGANIZATION HEADS  
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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
a.	When used to produce hard copy which is filed in HUD's official files as the record copy.	Use General Records Schedule 20, item 13, which reads: "Delete when no longer needed to create a hard copy."
b.	When the electronic form is the record copy.	Contact your RML0 for advice and assistance.
9.	Electronic spreadsheets that are recorded on electronic media such as hard disks or floppy diskettes in the offices of high-level officials identified in categories A and B on page 1 of this schedule.	
a.	When used to produce hard copy which is filed in HUD's official files as the record copy.	Use General Records Schedule 20, item 15a, which reads: "Delete when no longer needed to update or produce hard copy."
b.	When the electronic form is the record copy.	Contact your RML0 for advice and assistance.
10.	Electronic data bases created and maintained on stand-alone or networked micro- and mini-computers in the immediate	

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	offices of the POH's and other high-level officials identified in categories A and B on page 1 of this schedule.	
a.	Data bases that support administrative or house-keeping functions. This item covers those administrative data bases which contain information derived from hard copy records authorized for destruction by the General Records Schedules (GRS) or HUD records disposition schedules.	
(1)	When hard copy records are retained in order to meet recordkeeping requirements.	Use General Records Schedule (GRS) 20, items b(1), which reads: "Delete information in the data base when no longer needed."
(2)	When the data base takes the place of hard copy records.	Use GRS 20, item b(2), which reads: "Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later."

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	(3) Hard copy printouts created for short-term administrative purposes.	Use GRS 20, item b(3), which reads: "Destroy when no longer needed."
	b. All other data bases.	Contact your RMLO for advice and assistance.
11.	Suspense or tickler files. Consist of nonrecord extra copies of documents set aside to assure action by a specific date and other cards, notes or papers used as reminders that an action is required.	Use HUD Records Disposition Schedule 3, item 3, which reads: "Destroy 1 year after action is taken or reply is received or destroy when no longer needed for reference, whichever is earlier."
12.	Transitory files. Consist of papers of short-term interest which have no value as documentation or evidence. Include routine requests for information or publications and the replies; letters of transmittal which do not add any information; and memoranda and other papers on non-official matters such as holidays, charity drives, and bond campaigns.	Use HUD Records Disposition Schedule 3, item 4, which reads: "Destroy when 1 year old."

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<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
13.	Routine work control files. Consist of papers or cards used to facilitate or control work in progress. Include job control records, status cards, routing slips, and work processing sheets.	Use HUD Records Disposition Schedule 3, item 5, which reads: "Destroy when work is completed or when no longer needed for control."
14.	Technical reference files. Consist of extra (nonrecord) copies of issuances and directives, publications, reports, speeches, and other material used for reference purposes. Include informational copies of correspondence. Also include nonrecord copies of: Organizational charts and statements, staffing documents, establishing policy or precedents which apply to future and continuing actions, publications of other Government agencies, and non-Government publications.	Use HUD Records Disposition Schedule 3, item 6, which reads: "Destroy when superseded, obsolete, or no longer needed for reference."
15.	Records on other media such as microfilm, audiovisual records, motion pictures, photographs, slides, original artwork, posters, sound recordings, video recordings, maps, charts, and architectural and engineering drawings.	Contact your RML0 for advice and assistance.