

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
 WASHINGTON, DC 20408

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

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
 Pauline Grant

5. TELEPHONE
 (202) 401-8043
 x 209

LEAVE BLANK (NARA use only)

JOB NUMBER
 NI-207-98-3

DATE RECEIVED

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 "withdawn" in column 10.

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 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

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 GRS OR SUPERSEDED JOB CITATION	10.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 50</p> <p>FAIR HOUSING AND EQUAL OPPORTUNITY</p> <p>Record description and disposition instructions are attached.</p> <p><i>4-11-98</i></p>	<p>FAIR HOUSING & EQUAL OPPORTUNI</p> <p>OFFICE OF GENERAL COUNSEL</p> <p>OFFICE OF INSPECTOR GENERAL</p>	

RECORDS DISPOSITION SCHEDULE 50

FAIR HOUSING AND EQUAL OPPORTUNITY

This schedule covers the official copy of records created by the Office of Fair Housing and Equal Opportunity and its predecessors (Headquarters and Field) under the authority of Title 42 U.S.C. 3533(a).

Item

No. Description of Records Disposition

Original Complaint and Compliance Review Case Files. A chronological history of complaints or compliance reviews from submission or initiation to final action, and all conciliation or voluntary efforts used to achieve compliance. Complaints and/or Compliance Reviews pursuant to Title VI of the Civil Rights Act of 1964; Title VIII of the Civil Rights Act of 1968; as amended by Section 808(b) of the Housing and Development of 1974; Executive Orders 11246, 11375, 11063, 11625, and 11478; Section 3 of HUD Act of 1968; Section 109 of the Housing and Urban Development Act of 1974; Section 28 of the Fair Labor Standards Amendments of 1974; any violations of HUD contract provisions involving civil rights or equal opportunity considerations, constitutional violations and investigations and compliance reviews pursuant to those statutes and Executive orders. The official file is the file created or maintained in the office having final authority to determine or decide the case. If a combined review is made in conjunction with a complaint investigation, the papers generated become a part of the complaint file.

1. Archival sample (Complaint and Compliance Review Cases). Criteria for selection: Cases chosen should balance both the successes and failures of the program. a judicious selection includes cases which reveal ordinary or extraordinary problems. Unusual cases should be chosen for their illustration of new approaches; the precedents which they set; their effect on policy; and the new administrative, social, political, and legal problems they engender.
- PERMANENT.** Select 5 samples per year. Place in inactive file until volume amounts to 5 cubic feet. Retire to Federal Records Center. Offer to National Archives 25 years after retirement. (NARA Job NC-207-76-2, item 1)

Determination of which cases are to be offered to the National Archives is to be made at the time the files are retired to Federal Records Center for storage, and these cases are to be retired in a separate accession. (Selection is to be made by the Office of Fair Housing and Equal Opportunity).

See items 2 and 4 for disposition of other cases.

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Item No.	Description of Records	Disposition
2.	Complaint Case File.	
	a. Original complaints, affidavits, incoming correspondence, receipts for certified mail, original final investigation reports, conciliation agreements, and related correspondence.	Retire to Federal Records Center 1 year after final adjustment or case is closed. Destroy 5 years after case is closed. (NARA Job NC1-207-78-5, item 2(a))
	b. All other copies.	Destroy on site 2 years after final adjustment or case is closed. (NARA Job NC1-207-78-5, item 2(b))
3.	Background documents not included in complaint case file, including investigator's working papers.	Destroy on site 2 years after final adjustment or case is closed. (NARA Job NC-207-76-2, item 3)
4.	Compliance review case files and reports. Findings and recommendations concerning a recipient's compliance or noncompliance with relevant statutes and regulations, including any plan for voluntary compliance. Determination that a need to examine the operations of a recipient exists. Also includes exhibits, background documents, and reports.	Retire to Federal Records Center 1 year after final adjustment or case is closed. Destroy 5 years after case is closed. (NARA Job NC-207-76-2, item 4)
5.	RESERVED	
6.	Incomplete complaint case files. Cases which do not proceed to full or regular investigation; lack of jurisdiction, or charging party cannot be located.	Destroy on site 1 year after last action. (NARA Job NC-207-76-2, item 6)
7.	Copies of complaint case files referred to State and local agencies. Complaints allege violations of State and local laws referred to State and local agencies for processing.	Retire to Federal Records Center 1 year after final adjustment or case is closed. Destroy 5 years after case is closed. (NARA Job NC-207-76-2, item 7)

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Item No.	Description of Records	Disposition
8.	Program subject file, ("working paper file"), general complaint correspondence, and complaint activity file. Control procedures, guidelines, and general information on processing complaints under various Executive orders; correspondence on status of complaints; monthly complaint reports and special analysis of complaint activity.	Break file annually. Destroy when 3 years old. (NARA Job NC-207-76-2, item 8)
9.	Original Status Summary Logs and Monthly Closing Logs. Original Status Summary Logs for Title VIII, HUD Form 930.1; Title VI and Executive Orders 11063, HUD Form 930.2; 11478, HUD Form 930.3; 11246, HUD Form 930.4; and Monthly Closing Logs on Complaints and Compliance Reviews; progress charts; information on exact status of complaint and compliance reviews.	Destroy on site 6 years after date of log. (NARA Job NC-207-76-2, item 9)
10.	Contract Compliance Review File. Correspondence, memoranda, contractor facility reviews, reports comprising a summation of reports, conferences, meetings, and correspondence on conciliation with contractors dealing with Federal agencies.	Destroy on site 2 years after case is closed. (NARA Job NC-207-76-2, item 10)
11.	"WATS File (Wide Area Telephone System)." Transcript of Title VIII discrimination telephone complaints phoned to Headquarters by individuals throughout the country. After the complaint is logged, if the complaint is bona-fied, it is given a control number.	

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	The original copy of the complaint is forwarded to the Regional Office for investigation. When complaints are resolved by conciliation, the end result is the conciliation agreement. The "WATS" file and the logs are used to establish areas of concern not covered by Title VIII of the Civil Rights Act of 1968.	
	a. Official copy.	Break file annually. Retire to Federal Records Center 1 year after final adjustment or case is closed. Destroy 5 years after case is closed. (NARA Job NC-207-76-2, item 11a)
	b. All other copies.	Destroy 1 year after date of complaint. (NARA Job NC-207-76-2, item 11b)
	c. Complaint Logs.	Destroy on site 6 years after date of complaint. (NARA Job NC-207-76-2, item 11c)
12.	Project Case File (filed by subject) on civil rights compliance matters. Includes evaluation of the civil rights compliance in the Regional Offices, answers to U. S. Civil Rights Commission, questionnaires, background data on sex discrimination; surveys and studies. This includes copies of forms, and all associated documentation relating to the above.	Break file every 2 years. Retire to Federal Records Center when all legal actions are completed. Destroy 4 years after all legal actions are completed. (NARA Job NC-207-76-2, item 12)
13.	Research and Special Projects Contract File. Contains copies of correspondence and related material requesting contract	Destroy upon termination or completion. (NARA Job NC-207-76-2, item 13)

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Item No.	Description of Records	Disposition
	service for Research Projects for the Department. These projects are designed to further the objectives of Title VIII of the Civil Rights Act of 1968, The Federal Fair Housing Law. This file documents the transaction or relationship of each specific proposal from its inception to close.	
14.	Locality Code File (HUD Master Locality File Volume A and B) for each region. Used in maintaining logs of complaints and compliance reviews by locality.	Maintain on site in current status. Destroy when no longer required. Review every 3 years. (NARA Job NC-207-76-2, item 14)
15.	Locality Files (general correspondence) established by Field Office jurisdiction, general correspondence regarding compliance matters not related to a specific case.	Destroy on site when 2 years old. (NARA Job NC-207-76-2, item 15)
16.	Official Program Subject File. (substantive records) consisting of basic statutes, legislative proposals, legal opinions, Congressional statements, organizations, charts, termination of functions, delegations of authority, redelegations, policy statements, operating procedures and instructions, agenda and minutes of meetings, decisions and recommendations, reports, agreements, memoranda of understanding, and studies. Includes chronological file used as an index to Official Program Subject File.	
	a. Headquarters.	PERMANENT. Retire to Federal Records Center

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Item No.	Description of Records	Disposition
		when 3 years old. Offer to National Archives when 25 years old. (NARA Job NC-207-76-2, item 16a)
	b. All other copies.	Destroy when 4 years old. (NARA Job NC-207-76-2, item 16b)
17.	Program Review File (filed by program). Reports and correspondence from each Assistant Secretary and other officials with program responsibility relating to their implementation of the equal opportunity requirements and aspects of the program. Includes inspection and reviews from program staff, such as Headquarters Readiness Review Reports, findings and recommendations, performance, training and evaluation reports. These are used to measure progress and accomplishments made on each particular program; and to evaluate the utilization of Regional Office staff resources and their ability to train employees, monitor and evaluate Field Offices.	Break file annually. Retire to Federal Records Center 1 year after case is closed. Destroy 5 years after case is closed. (NARA Job NC-207-76-2, item 17)
18.	Historical Reference Files ("Legal"). Documentation affecting the Fair Housing and Equal Opportunity Program; Executive Orders, statutes, articles, and speeches, statements used before congressional committees; public and private organizations, memoranda of understanding; Fair Housing Ordinances and Resolutions; DHUD Equal Opportunity rules and regulations.	PERMANENT. Break series every 5 years beginning December 31, 1976. Maintain on site 10 years. Offer to National Archives when 15 years old. (NARA Job NC-207-76-2, item 18)

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Item No.	Description of Records	Disposition
19.	Consent Decrees File. (Department of Justice) copies. These are unpublished copies of Consent Decrees from the Department of Justice as a result of suits filed in Title VIII pattern or practice cases.	Destroy on site when 5 years old. (NARA Job NC-207-76-2, item 19)
20.	Issuances. Manuals, circulars instructions, directives, informational releases, speeches, publications, and directories, and organizational charts.	
	a. Official Record Copy. One complete set of each issuance, including amendments and superseded or canceled documents, together with supporting case file if any.	PERMANENT. Retire to Federal Records Center when noncurrent or termination of program. Offer to National Archives 25 years after date file is closed. (NARA Job NC-207-76-2, item 20a)
	b. All other copies.	Destroy on site as nonrecord after administrative need no longer exists. (NARA Job NC-207-76-2, item 20b)
21.	Contractors Report File submitted to Headquarters and Regional contract compliance office. Included are Monthly Progress Reports; Contractor's Activity Reports; Post Implementation Reports; Manpower Utilization Report, OF-66; inquiries regarding wage and employment; correspondence and reports regarding noncompliance with contracts. These reports are required of the contractors or subcontractors so as to monitor the implementation of their performance under "Home Town and Imposed Plans"	Destroy 2 years after file is closed. (NARA Job NC-207-76-2, item 21)

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	based on requirements in bid conditions; and to insure compliance with Equal Employment Opportunity requirements of Executive Order 11246.	
22.	Data Analysis File. Copies of Regional Office logs containing fair housing and equal opportunity complaint and compliance review activity data and copies of monthly and final sales reports and occupancy reports (aggregate) relating to HUD's Affirmative Fair Housing Marketing Regulations.	Destroy on site 10 years after date of file. (NARA Job NC-207-76-2, item 22)
23.	Questionnaire File (HUD form 923, Private Lending Institution Questionnaire). Forwarded to member lending institutions of Federal financial regulatory agencies. Data used to develop policy and plans for implementing Federal Fair Housing Laws.	Destroy on site 3 years after file is closed. (NARA Job NC-207-76-2, item 23)
24.	Correspondence between Office of Federal Contract Compliance, Department of Labor; Department of Housing and Urban Development and the Office of Fair Housing and Equal Opportunity. Contains copies of rules and regulations on Executive Order 11246, pre-award orders, lists of Compliance Officers Governmentwide, debarred firms; and Departmental consolidated lists of debarred, suspended and ineligible contractors and grantees; and related correspondence.	Break file annually. Maintain on site 1 year after file break. Destroy 3 years after date of file. (NARA Job NC-207-76-2, item 24)

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Item No.	Description of Records	Disposition
25.	Technical Assistance File (State and local government, funded agencies, and individuals). Correspondence, reports, and related documents pertaining to the development and implementation of policies for dealing with State and local government, funded agencies and individuals; requests for technical assistance on technical matters; assistance on housing problems; and related correspondence.	Break file annually. Maintain on site 1 year after file break. Destroy 5 years after date of file. (NARA Job NC-207-76-2, item 25)
26.	General Correspondence File. Consists of general correspondence which does not involve policy decisions relating to the Fair Housing and Equal Opportunity program. Communications between Divisions, Branches, and Sections of DHUD; outside firms, organizations, companies; and other government agencies.	Break file annually. Maintain on site 1 year after file break. Destroy 3 years after date of file. (NARA Job NC-207-76-2, item 26)
27.	Training (General File). Correspondence and documents relating to the overall administration of Fair Housing and Equal Opportunity functions. Includes agenda and materials presented for all Fair Housing and Equal Opportunity Directors, workshops, training needs, surveys and related correspondence.	Break file annually. Maintain on site 1 year after file break. Destroy 3 years after date of file. (NARA Job NC-207-76-2, item 27)

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28.	Fair Housing and Equal Opportunity Counselors File. Current listings of EEO Counselors, rosters and related correspondence with the Regional Office; copies of pertinent procedural guidelines; original and record copies of correspondence with Field and Headquarters; copies of consolidated reports to Headquarters.	Maintain procedural guidelines and listings in current status. Destroy consolidated reports when superseded or obsolete. Review every 2 years. Destroy all other files after review. (NARA Job NC-207-76-2, item 28)
29.	Reports File. Consists of periodic activity summary reports.	Destroy on site 2 years after date of file. (NARA Job NC-207-76-2, item 29)
30.	Minority Participation Reports File and related correspondence. Reports and correspondence from Regional Offices such as Minority Participation in the Bank Deposit Program, Minority Participation in Section 235 and 236 programs, Housing Management, Property Disposition and other HUD programs; graphs and consolidated reports, and general correspondence from other government agencies.	
	a. Official copy.	Destroy on site when 5 years old. (NARA Job NC-207-76-2, item 30a)
	b. All other copies.	Destroy on site when 2 years old. (NARA Job NC-207-76-2, item 30b)
31.	Minority Consultant Firms and Registry File. Consists of lists of minority consultant firms, registry on minority contractors.	Destroy on site after superseded or obsolete at end of each calendar year. (NARA Job NC-207-76-2, item 31)

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Item No.	Description of Records	Disposition
32.	Voluntary Compliance (Written Agreement) Files.	
a.	Fair Housing Ordinances and Resolutions obtained from cities within Field jurisdictions. HUD requires the cities to submit these ordinances and resolutions to promote open housing in all HUD programs.	Destroy on site when 3 years old if material is obsolete or superseded. (NARA Job NC-207-76-2, item 2, item 32a)
b.	Institutional Affirmative Action Plans required from organizations, individuals and local communities who have voluntarily agreed to follow and cooperate with Fair Housing and Equal Opportunity guidelines and program requirements.	Destroy on site 2 years after date of file. (NARA Job NC-207-76-2, item 32b)
c.	Institutional Affirmative Fair Housing Marketing Plan to affirmatively market housing to individuals of similar income levels in the same market area and make available to individuals the like range of choices of housing regardless of race, color, religion, or national origin.	Destroy on site 2 years after date of file. (NARA Job NC-207-76-2, item 32c)
d.	News Media and Proclaimer. Correspondence and agreements with newspapers, radio and television stations and other media of dissemination to develop feature stories on Fair Housing and Equal Opportunity programs.	Maintain on site in current status. Destroy 1 year after date of completed action. (NARA Job NC-207-76-2, item 32d)