

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

NCI-207-79-3

TO: **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1. FROM (AGENCY OR ESTABLISHMENT)

U.S. Department of Housing & Urban Development

2. MAJOR SUBDIVISION

Housing, Office of Management

3. MINOR SUBDIVISION

Participation and Compliance Division

4. NAME OF PERSON WITH WHOM TO CONFER

Jon Will Pitts, Director, Room 9212

5. TEL EXT

755-6533

LEAVE BLANK

JOB NO

NCI-207-79-3

DATE RECEIVED

22 FEB 1979

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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

3-20-79 *James S. Schuler*  
Date Archivist of the United States

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 3 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 1/29/79	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Robert J. D. Lwin</i>	E. TITLE Departmental Records Management Officer	
7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)		9. SAMPLE OR JOB NO
	<p>Records Disposition Schedule 18</p> <p>Housing Participation and Compliance Records</p> <p>This revised records disposition schedule covers all Departmental records relating to administrative actions taken regarding previous participants. The responsibilities relating to participation and compliance activities are outlined in Handbook 1130.1 Rev., Organization: Assistant Secretary for Housing--Federal Housing Commissioner, pp. 14-15 (attached), dated 11/78. Records relating to mortgagee approval will be scheduled separately.</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>Jon Will Pitts</p> <p><i>Jon Will Pitts</i></p> <p>Program Concurrence</p> <p>1-29-79</p> <p>Date</p> </div> <div style="width: 45%;"> <p>Steven Horowitz</p> <p><i>Steven Horowitz</i></p> <p>Legal Concurrence</p> <p>1/29/79</p> <p>Date</p> </div> </div>		
			10. ACTION TAKEN

Agency copy sent 3/22/79 jkf  
Copy sent to NCI & NNF: 3-26-79 items

## Request for Records Disposition Authority--Continuation

JOB NO

PAGE OF

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>This schedule supersedes HUD Schedule 18, items 1-3, 12-13, and 16 dated 6/74; NARS Job No. NC 174-128, dated 1/30/74; and NARS Job No. NN-168-38 dated 11/20/67.</p> <p>Items 1 and 2 are new items. Item 3 supersedes old item 2, but the disposition cannot be specified at this time because of the possibility that the data contained in the index may be automated. In such an event, the cards will be destroyed when the data has been entered into the system and verified. Items 4 and 5 supersedes old items 5 and 16. Old item 4 is deleted. Any obsolete records dealing with Wherry Housing that are discovered in the records center will be proposed for immediate destruction on a separate disposal list. Old item 6 will be covered in a separate schedule dealing with mortgagee approval. Old item 7 is revised and incorporated into new item 2 to reflect the normal Departmental retention for chronological files. Old items 8-10 are deleted to reflect mandatory application of the General Records Schedules. Old item 11 is deleted, and old items 12 and 13 are now reflected in item 6. Old items 14 and 15 are deleted, and old item 16 is covered in new item 4.</p>		

## Records Disposition Schedule

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## Housing Participation and Compliance Records

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
1	General subject files pertaining to the Administration and management of mortgagee participation and compliance activities.	Break files annually. Destroy when 3 years old.
2	Chronological files pertaining to all mortgagee participation and compliance activities.	Break files annually. Destroy when 3 years old.
3	Previous Participation Card Index, alphabetically arranged by name of previous participants, and providing a summary of each participant's record.	Disposition cannot be specified at this time. A study is underway, and this data may be incorporated into an automated system. This index will not be retired to a Federal Records Center.
4	Previous Participation Review Reports and Approval Letters.  a. Reviewer's report files, maintained in program office and filed chronologically.	Maintain in active office files for 2 years, then retire to Federal Records Center. Destroy when 4 years old.

## Records Disposition Schedule

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## Housing Participation and Compliance Records

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
	b. Copy of reviewer's report and approval letters, maintained in program office. Filed by State, and thereunder chronologically.	Maintain in active office files. Destroy when 6 years old.
5	Previous participation approval letters. Copies of approval letters sent to field offices. Filed by project number.	Destroy 3 years after Secretary ceases to have any liability and/or interest in the project.
6	Multifamily participation review committee case files, including minutes of committee meetings.	
	a. When participation is temporarily withheld.	Destroy 6 years after further participation is approved.
	b. When participation is withheld for cause.	Destroy 15 years after further participation is approved.

## Records Disposition Schedule

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## Housing Participation and Compliance Records

<u>Item No.</u>	<u>Description of Records</u>	<u>Disposition</u>
7	Compliance Case Files. These files include correspondence and copies of loan documents and other records relating to cases considered for investigation or actually investigated for alleged violations of laws, rules, and regulations governing HUD operations by bidders, realtors, mortgagees, mortgagors.	Break file 90 days after final action is taken and case is closed. Retain in inactive files for 3 years after final action is taken and case is closed. Retire to Federal Records Center thereafter, or any time after case is closed that volume warrants. Destroy 10 years after case is closed.

(All files refer to this page)

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c. PARTICIPATION AND COMPLIANCE DIVISION (OFFICE OF MANAGEMENT)

The Participation and Compliance Division shall be responsible for previous participation processing in National Housing Act Programs. The Division is also responsible for activities relating to compliance by contractors or grantees in connection with all Housing programs except those under Section 2, Title I of the National Housing Act. The Participation and Compliance Division, headed by a Director, shall:

- (1) Develop, recommend, and maintain operating policies, plans, procedures, methods, and techniques for previous participation review and clearance of principals involved in projects to be financed with mortgages to be insured under the National Housing Act and requiring certification of previous participants.
  - (2) Serve as Executive Secretary to the Multifamily Participation Review Committee. Recommend withholding actions, disapproval of projects with respect to previous participation of principals and prepare cases to refer to the Multifamily Participation Review Committee and execute Committee decisions.
  - (3) Approve, with respect to the previous participation of the principals, mortgage insurance proposals for multifamily housing, nursing homes and intermediate care facilities, proprietary hospitals, group practice medical facilities and land development projects. With respect to multifamily housing proposals not involving mortgage insurance, the Division conducts a previous participation review of the principals, the results of which are forwarded to the local Field Office Director for his determination as to approval.
  - (4) Receive, review and coordinate investigative reports, audits, and recommendations from HUD officials to determine and propose appropriate administrative or program actions necessary to protect the public interest and integrity of Housing's programs.
  - (5) Act for the Director, Office of Management, with respect to initiating notification of intent to debar, suspend, and declare ineligible contractors or grantees in connection with all Housing programs except those under Section 2, Title I of the National Housing Act.
  - (6) Provide advice and assistance to Field Offices on compliance problems and act as adviser to Housing officials on such matters concerning all Housing programs except those under Section 2, Title I of the National Housing Act. In this connection, work closely and coordinate with the Office of Housing Operations and Field Monitoring.
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- (7) Train HUD personnel in compliance requirements and procedures. Review and monitor the compliance program and disposition reports, closed investigative reports, sanctions imposed and the removal thereof to assure that appropriate and timely administrative action is taken by Field Offices.
- (8) Maintain central control of the records of administrative actions taken regarding previous participants and disseminate appropriate information for operational use.
- (9) Maintain liaison with the Office of Inspector General for investigations related to these activities.
- (10) Close and dispose of compliance cases where appropriate action has been taken or where no action is warranted.
- (11) Work closely with (1) the Systems Planning and Coordination Division, Office of Management, in their design of data systems, and (2) the Management Information Systems Division, Office of Management, for the data output necessary for decision making in the administration of previous participation and compliance activities.

F. SYSTEMS PLANNING AND COORDINATION DIVISION (OFFICE OF MANAGEMENT)

The Systems Planning and Coordination Division is responsible for the overall development, control, and coordination of Housing's automated data systems. Coordination efforts will be directed to automated systems integration as well as to integration of manual and automated systems to the maximum extent feasible. A strong coordinative effort will be maintained with all user activities to maintain effective utility. The Systems Planning and Coordination Division, headed by a Director, shall:

- (1) Coordinate the preparation of the one-year and three-year ADP Systems plan, budgeting of all ADP expenditures, and the establishment of priorities and schedules for systems development, in conjunction with program offices.
- (2) Coordinate all Housing automated systems, and maintain liaison with the Assistant Secretary for Administration and all other major ADP users in the Department to ensure coordination of common data needs, and conformance with established data standards, codes, and reports.