

**REQUEST FOR AUTHORITY
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

TO: **GENERAL SERVICES ADMINISTRATION,
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408**

1. FROM (AGENCY OR ESTABLISHMENT)
Department of Housing and Urban Development

2. MAJOR SUBDIVISION
Assistant Secretary for Administration

3. MINOR SUBDIVISION
Office of Management and Organization

4. NAME OF PERSON WITH WHOM TO CONFER
Russell F. Thompson

5. TEL. EXT.
138 55300

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

LEAVE BLANK	
DATE RECEIVED FEB 12 1973	JOB NO. NN-173-141
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.	
Date 4-17-73	<i>James B. Rhoads</i> 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 7 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

2-7-73 (Date) *Edmund H. Bayne* (Signature of Agency Representative) **Director, Office of Management and Organization** (Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>RECORDS OF THE HOUSING FOR THE ELDERLY OR HANDICAPPED PROGRAM</u></p> <p>Section 202 of the Housing Act of 1959 (P. L. 86-372) as amended, provides low-interest, long term loans to assist private nonprofit corporations, consumer cooperatives, limited profit sponsors, or public bodies or agencies to provide housing and related facilities such as cafeterias or dining halls, community rooms or buildings, and infirmaries specially designed for elderly or handicapped families.</p> <p>This loan program provides below market interest rate direct loans for construction, rehabilitation, or alteration of rental housing for occupancy by elderly or handicapped persons and their families. Loans to a corporation, consumer cooperative, or public body or agency shall not exceed the total development cost. For others, loans shall not exceed 90 percent of the development cost. Loans shall be repaid within a period not exceeding 50 years.</p> <p>This schedule is applicable to case records and to administrative and program subject material accumulated by the Headquarters and field offices. Usually, material is located at four organizational levels -- Headquarters, Regional Offices, Area Offices, and the Field Engineers' Office.</p>		

22 items

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	<p><u>Regional Office Files.</u> Except for the Denver Region, regions do not maintain case or project files. These files are maintained in the Area Offices which are under the jurisdiction of the Regional Offices. The Denver Region does not have Area Offices. The retention requirements specified for Area Offices case or project files also applies to these files that are maintained in the Denver Regional Office.</p> <p><u>Field Engineers' Files.</u> The field engineer is primarily responsible for supervision and inspection duties at the site. The value of most of the material in these files (predominantly informational copies) is limited to the project construction period through final audit. In order to avoid repetition of invariable disposal instructions after each type of record described herein, Field Engineers' files are covered at the end of this schedule (Items 14a through 14c).</p> <p>Application and loan agreement files consisting of applications for loans, revisions, supplements; copy of corporate charter or articles of incorporation, by-laws, resolutions; official review reports, approvals, authorizations; project summaries, fund reservations; loan agreements, terms and conditions, amendments, waivers; audit reports; final project reports; and completion certificates.</p> <p>a. When long-term government loan is rescinded by sale of note to private investor.</p> <p style="padding-left: 40px;">Area Office and Central Office Files.</p> <p style="padding-left: 80px;">Destroy four years after final settlement.</p> <p>b. When projects are partially or wholly financed with Federal funds through purchase of note.</p> <p style="padding-left: 40px;">Area Office and Central Office Files.</p> <p style="padding-left: 80px;">Transfer to Federal Records Center when no longer required for loan management reference. Destroy three years after note has been redeemed and cancelled by payment in full or refinancing and the loan agreement terminated.</p>		

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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
2.	<p>Correspondence on applications, loan agreements, and note proceedings with applicant, local, state, and Federal agencies and institutions, which does not qualify the covenants and pledges of the application and loan agreement documents.</p> <p>Area Office and Central Office Files.</p> <p style="text-align: center;">Destroy four years after final disbursement and satisfactory close of final audit.</p>		
3.	<p>Requisitions for loan payment consisting of requisitions and vouchers for loan payment or advance, borrower's statement regarding its financial condition, certifications, opinion of counsel, supporting documents, and related correspondence.</p> <p>Area Office and Central Office Files.</p> <p style="text-align: center;">Destroy four years after final disbursement and satisfactory close of final audit.</p>		
4.	<p>Construction contract documents consisting of a conformed set of bid and contract documents and amendments (Architect/Engineer and Construction), final plans and specifications, contract review documents, wage rates, contract change orders, insurance coverage, inspection reports, construction reports, and related correspondence.</p> <p>a. Area Office Files.</p> <p style="text-align: center;">Transfer to Federal Records Center after completion of project and satisfactory settlement of contract. Destroy four years after close of final audit.</p> <p>b. Central Office Files.</p> <p style="text-align: center;">Destroy two years after satisfactory settlement of contract and close of final audit.</p>		

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5.	<p>Prebid set of contract documents, including plans and specifications, reviewed for conformity with HUD requirements.</p> <p>All locations.</p> <p style="text-align: center;">Destroy when approved conformed contract, specifications, and plans become part of the official file.</p>		
6.	<p>Mortgage transcript documents consisting of charter or articles of incorporation, by-laws and amendments; proceedings of borrower authorizing execution of notes, mortgages, regulatory agreements; survey maps with legal description of project to be mortgaged; site certificate; affidavits; certifications; and opinion of counsel.</p> <p>Area Office and Central Office Files.</p> <p style="text-align: center;">Destroy three years after note has been paid in full and cancelled and all agreements terminated.</p> <p style="text-align: center;">When long-term government loan is rescinded by sale of note to private investor, the Central Office record set of mortgage transcript documents shall be released to the private investor upon completion of sale.</p>		
7.	<p>Project and loan management files.</p> <p>a. Documentation between HUD and borrower evidencing borrower's understanding and agreement to continue compliance with covenants and pledges of loan documents, terms of admission, partial release of mortgage, and amortization schedule.</p> <p style="text-align: center;">Area Office and Central Office Files.</p> <p style="text-align: center;">Destroy three years after repayment of the loan and termination of loan agreement.</p>		

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	<p>b. Correspondence and other communications of obvious transitory value not affecting the status of loan repayment.</p> <p style="padding-left: 40px;">Area Office and Central Office Files.</p> <p style="padding-left: 80px;">Destroy after two years.</p> <p>c. Reports submitted by borrower or auditors consisting of initial, annual and special reports; audit financial, occupancy, and operating reports; and statement of cash receipts.</p> <p style="padding-left: 40px;">Area Office and Central Office Files.</p> <p style="padding-left: 80px;">Destroy when reports have no further administrative or historical value but not prior to three years after exceptions have been resolved.</p>		
<p>8. R</p>	<p>Project Control Record, consisting of individual applicant status record documenting action taken from application through receipt of note.</p> <p style="padding-left: 40px;">Area Office.</p> <p style="padding-left: 80px;">Disposal not authorized by this schedule. Place in inactive file after project completion and final audit. Send as a completed unit one year after liquidation of program to Central Office for offer to National Archives.</p>		
<p>R 9.</p>	<p>Loan management control record, containing financial and operational data during the loan management stage.</p> <p style="padding-left: 40px;">Area Office.</p> <p style="padding-left: 80px;">Disposal not authorized by this schedule. Send as a complete unit to the Central Office one year after liquidation of program.</p>		

Exchange made per Telephone call with Mr. Thompson - 4-9-73 CSR

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10.	<p>Withdrawn, disapproved, or deferred applications and related correspondence.</p> <p>Area Office and Central Office Files.</p> <p>Destroy four years after withdrawal, disapproval, or deferral.</p>		
11.	<p>General Subject Files (Housekeeping Records) relating to budget, personnel, communications, fiscal, travel, procurement, printing and duplication.</p> <p>Area Office, Regional Office, and Central Office Files.</p> <p>Dispose of in accordance with applicable HUD Records Control Schedules.</p>		
12.	<p>General Subject Files (Program Records) consisting of records documenting the Housing for the Elderly and Handicapped program on legislation, legal opinions, operating policy statements, committee meetings and minutes, delegations, organization and functions, and reports.</p> <p>a. Central Office Files.</p> <p>Disposal not authorized. Offer to National Archives one year after program is liquidated.</p> <p>b. Regional Office and Area Office Files.</p> <p>Destroy four years after files are closed.</p>		
13.	<p>Informational releases and publications consisting of press releases, speeches, publications and manual issuances.</p> <p>a. Central Office.</p> <p>Retain one copy of each issuance for offer to National Archives.</p>		

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14.	<p>b. Other sets of files, including those in Regional Offices and all subdivisions.</p> <p style="text-align: center;">Destroy when superseded or obsolete.</p> <p>Field Engineers' Files.</p> <p>a. Contractors' Payrolls, consisting of weekly payrolls, with related certifications.</p> <p style="text-align: center;">Destroy six months after final project inspection unless wages or other matter involving the payrolls are in dispute or question, in which instance destroy when case is satisfactorily closed.</p> <p>b. All other project records.</p> <p style="text-align: center;">Destroy one year after satisfactory completion of contract and final settlement.</p> <p>c. General Subject Files, including procedural guides and publications media, informational copies, reports and other records that explain the program and its procedure.</p> <p style="text-align: center;">Destroy when material has no further reference needs, or when obsolete.</p>		