

CHAPTER 11

RECORDS AND FILES MANAGEMENT

1. POLICY.

- A. The overall objective of the Department's records and files management program is to provide efficient, economical, and effective management of all Departmental information and records to include creation, use, maintenance, and disposition.
- B. Develop standards and instructions to cover the life cycle of information and records created by HUD programs.
- C. Develop and apply effective records retention schedules accepted and approved by the National Archives and Records Administration (NARA) and the General Accounting Office (GAO).
- D. Set up and maintain files that can easily be disposed of based on HUD Handbook 2225.6, Records Disposition Schedules and HUD Handbook 2228.2, General Records Schedules.
- E. Make filing HUD records as easy and uniform as possible, by standardizing filing classification schemes.
- F. Ensure that records of permanent value are appropriately preserved and transferred to NARA for permanent retention.
- G. Retire inactive records from costly office space to a Federal Records Center for storage.
- H. Ensure appropriate disposal of records that are no longer needed.
- I. Ensure implementation of and compliance with regulatory requirements.

2. FUNCTIONAL ORGANIZATIONS.

A. Office of Administration.

- 1. Office of Administrative and Management Services (OAMS). The Document Division oversees the Department's records and files management program.

OAMS' Headquarters Records Center Liaison Unit (RCLU) assists in the retirement, retrieval, transfer, and disposition of Headquarters records and serves as liaison with the Washington National Records Center (WNRC). The Document Division's Departmental Records Management Officer (DRMO) serves as HUD liaison on records and files management concerns with NARA, GAO, and other Federal agencies, provides advice and assistance to the Department's organizational components on the management of their records, including the development of records retention schedules and disposition. The DRMO appraises high level HUD officials of responsibilities concerning personal papers and proprietary records, conducts training and development of organizational Records Management Liaison Officers, and provides orientation of new Departmental employees regarding Federal records management responsibilities.

2. Office of Information Technology (OIT). In coordination with the DRMO and program office staff, the OIT develops and implements records retention schedules for the Department's automated systems designs and the records created and maintained in those systems.
3. Administrative Service Centers (ASC). ASC Directors oversee Field Office records management policy implementation and administration.
4. Administrative Resources Divisions (ARD). ARD Directors name a Records Management Liaison Officer (RMLO) and an alternate and coordinate all records disposition services for each of their organizations.
5. The Directors of Field Information Technology Divisions. The Directors of the Field Information Technology Divisions and their staff establish retention periods for locally developed automated/electronic files, as part of ADP systems development.

B. Records Management Liaison Officers (RMLOs).

1. Headquarters and Field RMLOs coordinate and evaluate all records and files management activities for their respective organizations and serve as the principal organizational contact regarding records and files related concerns. They must:
 - a. Provide technical leadership and assistance on records and files management.
 - b. Evaluate all records and files management activities to ensure they are useful and up-to-date.

- c. Inform the Records and Directives Branch, OAMS, of any problems, including noncompliance with the policy outlined herein when the Program Organization Heads (POH) cannot resolve them.
 - C. **Program Organization Heads.** POHs are managers responsible for major HUD organizations who report directly to the Secretary. The POHs are the Assistant Secretaries, General Counsel, President of Government National Mortgage Association, Inspector General, Chief Financial Officer, and the Director for the Office of Lead Hazard Control.
 - D. **HUD Employees.** Employees must treat the official records in their custody as Federal property and ensure against their unlawful use, removal, and destruction. They must also implement approved retention periods for the files they create and maintain.
3. **REGULATORY AUTHORITIES.** National Archives and Records Administration Act of 1984 (44 U.S.C. 101); 36 CFR, Part 1228, 36 CFR, Part 1230 issued by the National Archives and Records Administration (NARA); 18 U.S.C. 2071; 18 U.S.C., Section 641; 18 U.S.C., Sections 793, 794, 798; The Federal Records Act of 1950 (44 U.S.C., Section 3102); 1976 Federal Records Management Amendments to the Federal Records Act of 1950.
 4. **PRIVACY ACT CONSIDERATIONS.** See HUD Handbook 1327.1, Privacy Act Handbook.
 5. **CONTRACT REQUIREMENTS.** See HUD Handbook 2228.1, Chapter 9.
 6. **RECORDS RETENTION/DISPOSITION REQUIREMENTS.** See HUD Handbook 2228.2, General Records Schedules and HUD Handbook 2225.6, HUD Records Disposition Schedules.
 7. **KEY REFERENCES.**
 - A. HUD Handbook 2229.1, Records Disposition Scheduling for Automated Systems.
 - B. HUD Handbook 2228.2, General Records Schedules.
 - C. HUD Handbook 2225.6, HUD Records Disposition Schedules.
 - D. Managing Electronic Records, issued by NARA.
 - E. Electronic Record keeping, issued by NARA.
 - F. HUD Guidebook A000.1G, Files Management.
 - G. HUD Handbook 1750.1, National Security Information.

8. ACRONYMS.

ARD	- Administrative Resources Division
ASC	- Administrative Service Center
ASCII	- American Standard for Information Interchange
DRMO	- Departmental Records Management Officer
FRC	- Federal Records Center
GRS	- General Records Schedules
NARA	- National Archives and Records Administration
OAMS	- Office of Administrative and Management Services
OIG	- Office of Inspector General
OIT	- Office of Information Technology
OPF	- Official Personnel File
RCLU	- Records Center Liaison Unit
RMLO	- Records Management Liaison Officer
WNRC	- Washington National Records Center

9. FORMS REFERENCED AND/OR REQUIRED.

SF-115	- Request for Records Disposition Authority
SF-258	- Request for Transfer, Approval and Receipt of Records to National Archives of the United States
SF - 135	- Records Transmittal and Receipt
SF-2806	- Individual Retirement Record
SF - 127	- Request for Official Personnel Folder
SF - 184	- Request for Employee Medical Folder
SF-277	- Computer Magnetic Tape File Properties
OF-11	- Preference Request - Federal Records Center
<u>HUD-58A</u>	- Clearance for Separation of Employee
HUD-552	- Request for Change in HUD Records Schedule
HUD-67	- Files Survey
NA Form 13001	- Notice of Intent to Destroy Records
NA Form 1300	- Agency Review for Contingent Disposal

10. REPORTING REQUIREMENTS SUMMARY. Records and files management reporting requirements are referenced in the appropriate sections of this chapter.

SECTION 1
RECORDS INVENTORY AND APPRAISAL

11. INVENTORY AND APPRAISAL REQUIREMENTS. An inventory determines what unscheduled records exist and appraisal assigns a value to the records. All unscheduled Departmental records must be inventoried and appraised.

A. Inventory Requirements.

1. Inventories and schedules must address records in a basic unit of a series, rather than separate folder or documents. A series is a group of records which:
 - a. Have the same physical form.
 - b. Are arranged under a single filing system.
 - c. Relate to a particular subject.
 - d. Document a certain kind of transaction.
 - e. Are produced by the same activity.
2. Each record series and all nonrecord material must be documented on form HUD-67, Files Survey. Include:
 - a. All records and nonrecord material of the organization or function concerned, including any material not stored in filing equipment.
 - b. All records and nonrecord material, regardless of physical form (e.g., microform, electronic, photographs, etc.).
 - c. Clear and brief descriptions of the records, including how often they are used and disposition instructions.
 - d. Restrictions on access and use of the records (i.e., Executive Order, law, security classification, internal directives, etc.).
3. Appraisal Requirements. Appraisals must be assigned to records as a series.
 - a. Appraisal Categories. All records are categorized into a series which is either:
 - (1) Permanent. Records selected and permanently maintained by NARA.
 - (2) Temporary. Records that are disposable within NARA-approved timeframes.

b. Appraisal Values.

- (1) Primary Value. The primary value of records are the administrative, legal and/or fiscal information they contain. Records are temporary, and so disposable, if they have one, or more, primary value(s), but no secondary value.
 - (a) Administrative Value. The value of records in helping HUD do its work. Administrative records are:
 - 1 Short-Term. Normal housekeeping records documenting routine transactions which are quickly completed.
 - 2 Long-Term. Case history files on directives and regulations. Long-term records with a recommended retention of 10 years, or more, must be justified to NARA.
 - (b) Legal Value. Value as evidence of legally enforceable rights or obligations of the Government.
 - (c) Fiscal Value. Value of records documenting financial transactions. Exception: Records on the development of fiscal policy may have permanent value.
- (2) Secondary Value. The research value to others after the Department's needs have been met. Secondary value is also called archival value.
 - (a) Evidential Value. The value of records as evidence of HUD's organization and functions (records indicating how the Government determined and met the needs of its citizens.)
 - (b) Informational Value. The value of the information the records contain on persons, things, problems, and conditions with persons, things, problems, and conditions with which the Department has dealt. NARA test for assigning informational value:
 - 1 Uniqueness. The information cannot be found elsewhere (either from federal and nonfederal sources) in as complete and useful form.

2 Form. Concentration of information, physical conditions of records, and ease of access to data.

3 Importance of Research Value.

SECTION 2 **RECORDS DISPOSITION SCHEDULES**

12. DEFINITION. A records disposition schedule documents the timeframe a Federal record must be retained and/or preserved and provides the authority by which final disposition of a Federal record may occur.

13. HUD POLICY.

A. **HUD Requirements.** The Department's policy is to develop records disposition schedules on a program or functional basis versus an organization basis. All HUD records must be scheduled, regardless of form or media. Existing records disposition schedules must be reviewed annually for needed revisions. All proposed records schedules must be forwarded to the DRMO for submission to NARA for approval. Schedules must be approved by NARA and GAO, as appropriate, before they can be used as authority to dispose of Departmental files.

B. **NARA Requirements.** NARA must seek public comment before approving any new schedules, or revisions of schedules proposing a decrease in retention periods. Only records selected by NARA can be kept permanently.

C. **NARA Final Notice of Approval.** The Archivist of the United States must approve and sign SF-115, Request for Records Disposition Authority for a records schedule to take effect.

14. HUD HANDBOOK 2228.2, GENERAL RECORDS SCHEDULES (GRS). This handbook contains the GRS which are issued by NARA to cover the disposition of records common to most Federal agencies, i.e., records mainly consisting of administrative functions and nontextual records. All Federal agencies must use them.

15. HUD HANDBOOK 2225.6, HUD RECORDS DISPOSITION SCHEDULES.

A. This handbook contains HUD-initiated, NARA-approved deviations from the GRS. HUD may request deviations from the GRS for one of the following reasons:

1. The Department seeks longer, or shorter, retention periods for certain administrative, legal, or fiscal records to meet a unique requirement, or specific need.
 2. Certain GRS schedules may be deleted by NARA so that it may appraise an agency's records on a case-by-case basis for archival value.
 3. Certain Departmental administrative records may be unique.
- B. This handbook also contains the NARA-approved schedules which the Department has developed to cover its unique functions and programs.

16. RECORDS DISPOSITION AUTHORITY.

- A. **Form SF-115.** All records disposition schedules must be prepared using a Form SF-115.
- B. **Concurrences Required.**
1. Program Office. The office(s) creating and/or keeping the records covered by the schedule must concur. The DRMO can assist in determining the appropriate concurrences.
 2. Legal Concurrence. To make sure legal needs are considered, the Office of the General Counsel must concur.
 3. Audit/Investigation Concurrence. The Office of the Inspector General (OIG) must concur to make sure audit and investigative needs were considered.
- C. **Submission of SF-115.** The DRMO must certify the proposed schedule by signing and dating the SF-115 as agency representative.
1. NARA. The DRMO will forward the request to NARA.
 2. GAO. The DRMO forwards the request to GAO. GAO approval is required for a schedule covering:
 - a. Administrative functions where the proposed retention periods are less than those in the GRS.
 - b. Program records to be kept for less than 3 years.
 - c. Records relating to claims or demands by or against the Government when the proposed retention period is less than that required in the GRS.

- D. **SF-115 Prepared by a Federal Records Center (FRC).** FRCs will prepare SF-115s to cover unscheduled records stored there, or to reduce retention period for scheduled records. NARA will clear their SF-115s with HUD before approving them.
17. **SF-115 CERTIFICATIONS REQUIRED FOR MICROFORMED RECORDS.** When proposing to microfilm permanently valuable records, the Department is required to follow certain technical filming and storage standards. The SF-115 must be documented indicating that these standards have been met.
- A. **Certifications Required.**
1. "This certifies that the records described on this form will be microfilmed in accordance with the standards set forth in 36 CFR Part 1230."
 2. Storage conditions for the silver original microforms must meet the standards in 36 CFR 1230.20. Also, the first inspection date of the microforms must be indicated.
- B. **Microform and Hard Copy Scheduling Requirements.** Separate disposition schedules must be developed for both the microform and the hard copy (paper) record.
- C. **Retention Requirements.** Microforms must be given a permanent retention period based on HUD's administrative, legal and fiscal needs. Hard copies must be destroyed after the microform is checked and verified.
18. **SCHEDULING OF AUTOMATED DATA PROCESSING (ADP) RECORDS.**
- A. **Central ADP Centers.** A separate schedule item must be developed to cover the records of each ADP system. ADP system files are covered in the related HUD program or functional schedules. See HUD Handbook 2229.1, Records Disposition Scheduling for Automated Systems. A copy of the automated system description from the HUD Inventory of Automated Systems must be attached to a proposed ADP schedule before the schedule is submitted to NARA for approval.
- B. **Personal Computer Records.** The GRS contains many of these records. A separate schedule item must be developed for program data bases or other electronic records not covered by GRS 23.
19. **REQUEST FOR CHANGES TO HUD RECORDS SCHEDULE.**
- A. **Form HUD-552.** Changes to a HUD schedule must be prepared on a Form HUD-552, Request for Change in HUD Records Schedule.

B. Justifications for Changes.

1. Addition of new items.
2. Decrease in retention periods.
3. Increase in retention periods.
4. Deletion of a discontinued series.
5. Addition of retirement instructions.
6. Redesignation of permanent records.
7. Converting records to microform.

20. DETERMINING PROPOSED RETENTION PERIODS.

A. Retention periods must reflect sound administrative, legal and fiscal requirements.

1. Reference Activity. Records are considered inactive when referred to once a month, or less, per file drawer.
2. Legal Factors. Federal statutes of limitations require keeping some records as long as legal actions are possible.
3. Files Containing Names. Name files are files on the rights and benefits of people and any transactions concerning them. These factors must be considered:
 - a. When the file closes.
 - b. What rights a person has by law after the file closes.
 - c. The time limit for using those rights.
 - d. HUD's administrative needs for audit and related purposes.
4. Special Administrative Needs. Temporary programs or special investigations may require retaining certain records for a longer timeframe than usual administrative requirements.
5. Duplication. Multiple copies of certain records may exist. The most complete documentation is the "record copy," and must be retained longer than other copies.

- 6. Data from another source can reduce the retention period.
 - B. **NARA Limitations on Retention Periods.** NARA has a five-year maximum on temporary records. Longer retention periods must be justified and approved.
 - C. **GAO Audit Requirements.** GRS 6 ensures availability of account records for GAO audit purposes. Potential GAO audit requirements for other records must be considered when proposing record retention periods.
 - D. **Risk.** Proposing the timeframe for destruction of records must reflect a realistic assessment of future need for the records.
21. **CONTRACTOR PREPARATION OF RECORDS DISPOSITION SCHEDULES.** At their own expense, HUD organizations may contract out the preparation of records disposition schedules to cover their records. However, the contract must remain open and final payment withheld until NARA approves the schedule.

SECTION 3

RECORDS DISPOSITION METHODS

22. **APPLYING APPROVED SCHEDULES.**
- A. Records Disposition Schedules must be applied following approval by NARA.
 - B. **For HUD Program Records.** Use the proper HUD records disposition schedule in HUD Handbook 2225.6.
 - C. **HUD Administrative Records.** Use the GRS and HUD Records Disposition Schedule 3, Administrative Records.
 - D. **For Other Agency Records in HUD Custody.** These record series do not belong to HUD, even though HUD creates and maintains them.
 - 1. Official Personnel Folder (OPF). Legally, this record series belongs to the Office of Personnel Management (OPM). It documents each Federal employee's service, rights and benefits. HUD sends the OPF to the National Personnel Records Center in St. Louis, Missouri, for disposal when the employee separates from the Department.
 - 2. Individual Retirement Record (SF-2806). Legally, this record belongs to OPM. It documents the amount taken from a Federal employee's pay for their retirement fund. HUD sends this record to OPM when the employee transfers or separates.

- E. **Freezes on Destruction of Scheduled Records.** The need for extending the retention period of records scheduled for disposal must be based on the Department's continuing administrative, legal or fiscal need. A request to "freeze" their destruction must be in writing and must be submitted to the DRMO for approval by NARA. The written request must justify the need, give the current and proposed location of the records, and state when they can be destroyed. Requests to end the freeze must be directed to the DRMO. The DMRO must notify all HUD offices and NARA when the freeze or extension is no longer applicable.
23. **LOANS TO CONTRACTORS OR GRANTEEES.** Contractors or grantees can be given temporary physical custody of HUD records when required by the terms of the contract or grant, and it is not practical or cost effective for them to make copies of the records or review the records in HUD offices.
24. **RETIREMENT OF RECORDS TO A FEDERAL RECORDS CENTER (FRC).** Retirement is the movement of inactive records from storage in office space to an FRC. (See Appendix 1 for listing of the FRCS.)
- A. **Retirement of Personnel and Pay Records.** See paragraph 11-22D and General Records Schedules 1 and 2.
- B. **Criteria for Retirement.**
1. Inactive Records. Records referred to not more than once a month per file drawer.
 2. Ineligible for Immediate Disposal. Records not authorized for immediate disposal whose transportation costs will not exceed the resulting savings. Generally records should not be retired if they will be destroyed within one year of retirement. Do not retire accountable officers' accounts records that are:
 - a. Less than one year old and have not been audited without approval of GAO.
 - b. Kept at overseas locations less than three years before retirement.
 3. When Volume Warrants. Volume must be at least one cubic foot (one box). A shipment of less than five cubic feet is not normally cost effective.
- C. **Records Not Accepted by FRCs for Retirement.**
1. Eligible for Disposal But Kept Because of a HUD-Imposed or Court-Imposed Freeze. See paragraph 11-22E regarding "freezes."

2. Unscheduled Records Covered By An SF-115 Approved Prior to May 14, 1973, Whose Disposition Instructions Were Not Authorized. The disposition instructions include "permanent," "retain," "not authorized for disposal," etc. Requests for exceptions must be justified in writing and submitted to the DRMO to obtain NARA approval. The request must include:

- a. Data on the record volume and the expected reference activity.
- b. A SF-115 attached to schedule the records.

D. **Records with a contingent disposition.** Contingent disposition is based on an event taking place at some future, unspecified time. Requests for exceptions must be justified in writing and submitted to the DRMO to obtain NARA approval. The request must include:

1. Series title;
2. Records schedule and item numbers;
3. Estimated annual growth;
4. Frequency of reviews for disposal;
5. Justification for retirement to FRC.

E. **Forms Required.** A Form SF-135, Records Transmittal and Receipt, must be prepared to retire records. Each Field Office must follow the current procedures and practices of the FRC for that particular area.

25. **OFFER.** If the records seem to have archival value, the Department must submit an offer of the records for permanent retention and immediate, or future transfer to the National Archives. If certain records seem significant in a series which is otherwise scheduled for disposal, the Department must prepare an offer for selection of only those records by NARA. A SF-115 must be submitted to the DRMO for NARA approval. Any restrictions on access and use of the records must be documented.

26. **DISPOSAL LIST.** For unscheduled HUD records no longer being created and which do not seem to have archival value, the Department must prepare a disposal list for their immediate or future disposal. A SF-115 must be submitted to the DRMO for NARA approval.

27. **TRANSFER.** A transfer changes the legal and physical custody of records from one agency/organization to another. This includes the transfer of permanent records to the National Archives. The National Archives accepts only records which it decides have enough historical or other value to warrant permanent retention.

- A. **Transfers Between HUD Offices.** Official files must be transferred at the same time final authority and program responsibility are transferred. Only active records should be transferred. Inactive records should be retired to FRCs or destroyed under approved records disposition schedules.
- B. **Transfer to NARA.**
1. SF-227, Computer Magnetic Tape File Properties. This form must be used to describe automated records being transferred to NARA.
 2. SF-258, Request to Transfer, Approval, and Receipt of Records to National Archives of the United States.
 - a. HUD-Prepared SF-258. The office having custody of the records must submit an SF-258 to the DRMO. This form must be submitted to NARA for approval 60 days before the requested transfer date.
 - b. NARA-Prepared SF-258. NARA prepares an SF-258 and sends it to the DRMO to obtain clearance from the HUD office having legal custody of the records. The SF-258 must be returned to NARA 60 days before the transfer date.
 3. Permanent Records Stored on Optical Disk. These are the only types of optical disks that can be transferred to the National Archives for permanent retention:
 - a. Analog videodiscs that typically contain photographs if they do not require any interactive software or nonstandardized equipment. Original photographs of a permanent nature must be transferred to the National Archives along with a copy of the videodisc.
 - b. Compact disks used for digital audio playback.
 - c. Other permanent records must be converted to paper, microforms or magnetic tape before transfer to the National Archives.
 - d. NARA must approve destruction of permanent records converted to optical disk.
 4. Records Over 30 Years Old. The Archivist can transfer any HUD records over 30 years old that are unscheduled or scheduled as "permanent" to the National Archives by his/her action alone. If the records must remain in HUD for use in conducting current business, the Secretary must so certify in writing to prevent the transfer.

5. Transfer to Presidential Library. The White House or NARA may request certain papers for a Presidential Library. Only copies of records defined as "personal papers" can be transferred. Requests for such material must be coordinated with the DRMO.
6. Transfer to Other Federal Agencies.
 - a. Approval Requirements. NARA must give written approval for one Federal executive agency to transfer records to another, except when required by law, Executive Order, Presidential reorganization or Treaty, or the records are loaned for official use on a temporary basis.
 - b. Schedule Requirements. Schedules approved for one agency may not be used by another. HUD records disposition schedules must be revised when HUD transfers records or receives them as a result of a transfer. A Form HUD-552, Request for Change in HUD Records Schedule, must be approved to add or delete schedule items.
 - c. Restrictions. Any conditions and limitations placed on the borrowing Federal agency must be documented when loaning records to other Federal agencies.

28. DONATIONS.

- A. Criteria for Donations are authorized only when:
 1. They consist of nonrecord material and temporary records which are authorized for destruction.
 2. They do not contain information that cannot be revealed by law or is contrary to the public interest.
 3. The proposed recipient agrees in writing not to sell the records as records or documents.
 4. The transfer is made without cost to the Federal Government.
 5. NARA approval is obtained in advance.
- B. **Eligible Recipients.**
 1. An eligible government, including foreign governments with an official interest in the records.
 2. An organization.

3. An institution.
4. A corporation.
5. A person or commercial business if the records directly relate to the custody or operation of properties acquired from the Government.

29. DESTRUCTION.

A. **Paper Records.** Normally, paper records must be sold as waste paper. The contract for sale must prohibit their resale for use as records or documents. See the following table for exceptions:

IF the records...	THEN...
Are security classified for national defense reasons.	See Handbook 1750.1, National Security Information.
Are restricted from public access and use by law, regulation or HUD policy or directive.	Safeguard against disclosure. The waste paper contractor must pulp or shred them. The destruction must be witnessed either by a Federal employee or, if authorized by HUD, by a contractor employee.
Cannot be sold because the: <ul style="list-style-type: none"> . Volume is too small. . Market price is too low. . Records must be sorted and cleaned first. 	Place them in wastebaskets.

B. **Records on Other Media.** Nonpaper records (e.g., microforms; audio-visual materials; and magnetic tapes, disks and diskettes) may be salvaged and sold in the same manner and under the same conditions as paper records, except:

1. Erase and reuse media such as magnetic tapes and disks, if possible, or use a program which will completely overwrite the data to be destroyed. Simply telling an automatic data processing system to delete certain records will not protect against unauthorized access to the information.
2. Turn in media subject to the precious metals (e.g., gold, silver and platinum) recovery process when it cannot be erased and reused. (Source: 41 CFR Subpart 101-42.3) Examples are: original (silver halide) microforms, used photographic fixing (hypo) solution, and photographic and x-ray film. Use the normal procedures and forms for turning in excess Government

property, but note on the forms if access to data on the media is restricted by law, regulation or HUD policy or directive.

30. **RETRIEVING RECORDS FROM AN FRC.**

An Optional Form-11, Reference Request - Federal Records Center, must be completed for each folder or box needed. If two folders or boxes are adjacent, one form can be used.

- A. **Headquarters.** Written requests must be sent through the Records Center Liaison Unit (RCLU). Certain Office of Housing employees, identified by the DRMO, are authorized to request single family home mortgage insured case files directly from the FRC. In emergencies, certain Housing and Office of Community Planning and Development employees may request records directly in the absence of the RCLU staff and DRMO.
- B. **Field Offices.** The Field Office RMLOs are authorized to request records directly from local FRCs.

SECTION 4 **OFFICIAL FILES AND FILE STATIONS**

31. **OFFICIAL AND UNOFFICIAL FILES.**

- A. Official files (also called record copies) should be identified and kept separate from unofficial files (also called nonrecord material).
- B. Official files (record copies) contain the documents known to be a complete record of official Government business.

32. **PROCEDURES FOR STORING RECORDS OUTSIDE OFFICES.**

- A. **Headquarters.**
 - 1. Clearance is required before storing records outside Headquarters offices, including:
 - a. Hallways, elevator lobbies, or the subbasement.
 - b. Room B-229 assigned to the Documents Division, OAMS, Office of Administration. Room B-229 is used as a staging area for records awaiting:
 - (1) Retirement to the FRC.

- (2) Scheduled destruction in less than one year.
 - (3) Transfer to the National Archives under an approved offer.
2. Storage requests must be written and must:
- a. State where the records are to be stored and for how long.
 - b. Describe all records involved, including arrangement, dates, and volume (in cubic feet).
 - c. Cite the records disposition schedule (both the schedule and item numbers) covering the records.
 - d. Certify that they are meeting the disposition standards covering all records filed in that office.
 - e. Certify that all records retention periods are as short as possible, and that records are being retired to the FRC as soon as possible.
 - f. Briefly discuss the feasibility of micrographics as part of the solution to any existing records management problem.
3. Send requests to Document Management Division, Records and Directives Branch, OAMS.
- B. **Field Offices.** This paragraph neither authorizes nor prevents Field Offices from allowing records storage outside offices at their locations. This must be decided by each ASC and ARD. However, where allowed, ASCs should develop procedures similar to those of Headquarters.

SECTION 5

FILING EQUIPMENT AND SUPPLIES

33. **POWER FILES.** A complete analysis must be submitted when requesting these files. The analysis should include specific data on increased productivity, space savings, elimination of backlogs and overtime and reduction of staff hours to maintain the files.
34. **REQUESTING FILING EQUIPMENT FOR PAPER MEDIA.**
- A. **Before requesting filing equipment:**
- 1. Destroy eligible records under approved HUD records disposition schedules.

2. Retire eligible records to the FRC.
 3. Request a schedule change when experience shows that records can be destroyed or retired to a Center earlier than the schedule allows.
 4. Recycle or destroy excess copies of directives, forms, or publications.
- B. ***DO NOT STORE*** personal property, supplies, and decorations in filing equipment.
- C. The approval office's decision will be based on cost of the filing equipment, available funding, anticipated use and available office space.
- 35. REQUESTING FILING EQUIPMENT FOR SPECIAL MEDIA.**
- A. **Microforms.** Justify the request for nonstandard equipment.
- B. **Special Media.**
1. Contact the Property Supply Branch, OAMS, for information about the types of filing equipment available for other special media.
 2. Data files. Include cassettes, cartridges, tab and magnetic cards, diskettes, computer printouts, and computer tapes, disks, and reels.
 3. Card files.
 4. Drawings, blueprints, other large documents, tracings, map and plan files, and charts.

SECTION 6
REFERENCE SERVICES

36. RELEASE OF RECORDS TO SOURCES OUTSIDE HUD.

- A. The decision to release or not to release information to a source outside the Department is governed by the requirements of the Freedom of Information Act (FOIA) and the Privacy Act.
- B. Records shall be released to an outside source if approved by the head of the organization having primary responsibility for the program or activity concerned (or that individual's designee) and the release is made under the provisions of the FOIA.
- C. Release of records containing personal information shall be made only by the Privacy Act Officer, except if the release is required by the FOIA.
- D. Before releasing any information to outside sources, consult HUD Handbooks 1325.01, Privacy Act Handbook, and 1327.1, Freedom of Information Act.

Appendix 1**FEDERAL RECORDS CENTERS****AREA SERVED****MAILING AND SHIPPING ADDRESS**

District of Columbia, Maryland, Virginia, and West Virginia (except U.S. court records).

Washington National Records Center, Washington, DC 20409

mail):

Shipping address only (do not use for 4205 Suitland Road, Suitland, MD

The entire Federal Government personnel records of separated employees; pay records of all Federal employees; medical records of civilian employees of the Army, Navy, and Air Force; and records of agencies in the greater St. Louis area (Missouri only).

National Personnel Records Center (Civilian Personnel Federal Records) 111 Winnebago Street St. Louis, MO 63118

Maine, Vermont, New Hampshire Massachusetts, Connecticut, and Rhode Island. Waltham, MA 02154

Federal Records Center 380 Trapelo Road

Delaware, Pennsylvania, and U.S. court records for Maryland, Virginia, and West Virginia

Federal Records Center 5000 Wissahickon Avenue Philadelphia, PA 19144

North Carolina, South Carolina, Tennessee, Mississippi, Alabama Georgia, Florida, and Kentucky

Federal Records Center 1557 St. Joseph Avenue East Point, GA 30344

Illinois, Wisconsin, Minnesota, and U.S. court records for Indiana, Michigan and Ohio

Federal Records Center 7358 South Pulaski Road Chicago, IL 60629

Indiana, Michigan and Ohio except U.S. court records.

Federal Records Center 3150 Springboro Road Dayton, OH 45439

Appendix 1

AREA SERVED

MAILING AND SHIPPING ADDRESS

Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area.

Federal Records Center
2306 East Bannister Road
Kansas City, MO 64131

New York, New Jersey, Puerto Rico, Virgin Islands, and the Panama Canal Zone.

Texas, Oklahoma, Arkansas, Louisiana, and New Mexico

Federal Records Center
P.O. Box 6216
Fort Worth, TX 76115

mail):

Shipping address only (do not use for
4900 Hemphill Street, Building 1,
Dock 1, Fort Worth, TX

Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota.

Federal Records Center
Bldg. 48, Denver Federal Center, P.O. Box 25307
Denver, CO 80225

American Samoa; California, except southern California, and Nevada, except Clark County

Federal Records Center
1000 Commodore Drive
San Bruno, CA 94066

Arizona; Clark County, Nevada; and southern California counties of San Luis Obispo, Kern, San Bernadino, Santa Barbara, Ventura, Los Angeles, Riverside, Orange, Imperial, Inyo, and San Diego).

Federal Records Center
24000 Avila Road
Laguna Niguel, CA 92677

Washington, Oregon, Idaho, Alaska, Hawaii, and Pacific Ocean areas (except American Samoa).

Federal Records Center
6125 Sand Point Way
Seattle, WA 98115