

CHAPTER 6. FILE BREAKS AND RECORDS RETIREMENT

- 6-1. FEDERAL RECORDS CENTERS. Federal Records Centers store records of Federal agencies and service reference requests. The National Archives and Records Administration (NARA) runs two National Records Centers plus Federal Records Centers throughout the United States. See Exhibit 6-1. (Reference: NARA Records Management Handbook, Federal Archives and Records Centers, NSN 7610-00-298-6904)
- 6-2. FILE BREAKS. Also called cutoffs. Breaking or cutting off a file means ending it after a set time or event and starting a new one. File breaks help retire or destroy records in blocks to save storage space and control file growth. The records disposition schedules have file break instructions for some record series. But a series can be broken as follows without such instructions:
- a. In general: Don't break a series growing only a few cubic feet a year.
 - b. Subject or chronological files: Break at the end of the fiscal or calendar year if the series grows at least 10 cubic feet a year. Break a series every 2 or 3 years if it grows more slowly. Lacking a natural cutoff, subject files would have to be disposed of paper-by-paper without file breaks.
 - c. Case or project files:
 - (1) Break at the end of the transaction or event, such as employee separation, final purchase order payment, lease termination, or project completion.
 - (2) Mark closed case files with the date of closing and put them in a separate inactive file. Retire or destroy the inactive files in convenient fiscal or calendar year blocks.
 - (3) Break case files covering many years by setting up a new folder each year. Retire earlier folders with little reference activity.
 - d. Technical reference materials: Review each year to see if they are still useful. Destroy when superseded, obsolete, or no longer needed for reference. Technical reference materials can't be retired to a Federal Records Center.
- 6-3. RECORDS RETIREMENT CRITERIA. Retirement is the movement of inactive records from storage in HUD office space to the Federal Records Centers. The HUD records disposition schedules include retirement instructions for some record series. However, any records meeting the retirement criteria can be retired to a Center. Retire those records which:

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- a. Are inactive, i.e., referred to not more than once a month per file drawer.

- b. Are not authorized for immediate disposal and transportation costs will not exceed the resulting savings. Records generally should not be retired if they will be destroyed within one year of retirement, although this is not a hard and fast rule. Don't retire accountable officers' accounts which:
 - (1) Are less than 1 year old and not audited, unless GAO approves the retirement first.
 - (2) Are kept at overseas locations less than 3 years before retirement.
- c. Have a volume of at least one cubic foot (one box). Where retirement instructions in the schedules say to hold records "until volume warrants," it means until the volume reaches at least one cubic foot. Coordinate retirements to send as many records as possible in one shipment. A shipment of less than 5 cubic feet is not normally cost effective.
- d. Are scheduled and have a specific disposition date. The Centers no longer accept:
 - (1) Records eligible for immediate disposal but kept because of a HUD-imposed or court-imposed freeze.
 - (2) Unscheduled records. Unscheduled records include records covered by an SF 115 approved before May 14, 1973, for which the disposition instruction was "permanent," "retain," "disposal not authorized," or the like. NARA grants exceptions when justified. Submit written requests for exception to the Departmental Records Management Officer (DRMO). The request must include:
 - (a) Data on the record volume and the expected reference activity.
 - (b) An SF 115 attached to schedule the records.
 - (3) Records with a contingent disposition. (A contingent disposition is based on an event taking place at some future unspecified time. Example: "Destroy when all research needs are met.") NARA grants exceptions when justified. Submit written requests for exception to the DRMO. The request must include:
 - (a) Series title.
 - (b) Records disposition schedule and item numbers.
 - (c) An estimate of how fast the records will grow yearly.

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- (d) How often the records will be reviewed for disposal:

(e) Justification for retiring them to a Center.

6-4. HOW TO RETIRE PERSONNEL AND PAY RECORDS.

a. Type of Records involved. HUD must retire these records covered by General Records Schedules (GRS) 1 and 2 to the National Personnel Records Center (Civilian Personnel Records) at St. Louis:

- (1) Official personnel folders (OPF's) of separated employees.
- (2) Service record cards of employees separated or transferred on or before December 31, 1947.
- (3) Audited individual earnings and pay cards and comprehensive payrolls.
- (4) Employee medical folders (EMF's) of separated employees.

b. Retiring OPF's and EMF's.

- (1) How to Prepare the OPF and EMF for Retirement.
 - (a) Remove an employee's OPF and EMF from the active files when employment ends.
 - (b) Check each folder carefully for completeness. Try to find and file all papers that should be in each folder before retiring it. Exception: Do not retire x-rays over 11-3/4" by 10". Keep them in HUD and place a notice in the EMF on how to get them.
 - (c) Remove the temporary material filed on the left side of the folder and destroy it when authorized by GRS 1.
 - (d) Put the final leave statement (SF 1150 or equivalent) in the OPF.
 - (e) Record the employee's name (last name first), date of birth and social security number in the upper right of the folder tab.
- (2) How to Send OPF's and EMF's to NPRC. Send the separated employee's EMF to the National Personnel Records Center (NPRC) along with, but not interfiled in, the OPF. NPRC doesn't require advance notice of a shipment and doesn't tell HUD when they receive it.
 - (a) Send a small amount of folders (OPF's and EMF's) in a sealed envelope. Clearly identify the HUD personnel office and its address in the transmittal letter.

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(b) Send large amounts in standard Center cartons, following

the instructions in this Chapter.

- (3) How to Handle Loose Documents. If loose papers are found after the OPF and EMF are retired, remove all temporary material (as defined in the Federal Personnel Manual (FPM)). Retire for interfiling only those papers which the FPM names to be permanently kept in the folder. Each document to be interfiled must show:
- (a) Current name of the employee.
 - (b) Name under which the employee was formerly employed, if different from the current name.
 - (c) Date of birth.
 - (d) Social security number.
 - (e) Date of separation.

IF the bulk of employee's medical records were retired...	THEN send any loose medical documents to NPRC...
In EMF sent to NPRC after September 1, 1984	With cover letter. Include name and address of HUD-designated manager (i.e., medical, health, safety or personnel officer or other).
In HUD accession retired to local Center before September 1, 1984	In an EMF, as follows: <ul style="list-style-type: none">. Recall employee's health file from HUD accession. (On the OF 11, check "Permanent withdrawal" box under "Nature of Service."). Incorporate file into EMF with loose documents.. Retire EMF to NPRC.
Interfiled in OPF retired to NPRC before January 1978	In an EMF, as follows: <ul style="list-style-type: none">. Recall employee's OPF from NPRC.. Take medical documents out of OPF and place in EMF with loose documents.. Retire OPF and EMF to NPRC

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- c. Retiring Certain Pay Records. Use a Standard Form 135 to retire audited individual earnings and pay cards and comprehensive

payrolls. Don't merge these records with the OPF's or transfer them to a subsequent hiring agency. If an agency needs information from the records, give them copies or the data needed.

6-5. BOXING RECORDS FOR RETIREMENT.

- a. How to Estimate Volume. To order the right number of boxes, estimate the volume of the records to be retired, using these guidelines:
 - (1) A full letter-size file drawer holds about 1-1/2 cubic feet.
 - (2) A full legal-size drawer holds 2 cubic feet.
- b. How to Order Boxes. Exhibit 6-2 shows the Records Center boxes available to retire records to a Center. The standard box for letter-size and legal-size records is called a "Center carton" and holds 1 cubic foot of files. To order boxes:
 - (1) Headquarters offices: Submit the standard requisition to the Facilities Operations Division, Office of Administrative and Management Services, Administration.
 - (2) Regional and Field offices: Get the boxes from the GSA Federal Supply Service through normal supply channels.
- c. How to Assemble Standard Boxes.
 - (1) Tuck-bottom boxes. Fold in one set of 6-inch tabs and then insert one double-folded 15-inch flap. Repeat for the opposite side. Press the two 15-inch flaps flat on the inside of the box. This forms the bottom of the box and does not need taping.
 - (2) Boxes without tuck-bottoms. Fold the two 12" flaps inside, and then fold the two 15" flaps. Tape the bottom.
- d. How to Pack and Inventory Standard Sized Records:
 - (1) Screen the records to destroy nonrecord material (e.g., duplicate copies and reference material) and records eligible for immediate destruction.
 - (2) Don't pack different types of records or records with different disposal dates in the same box. All records packed in a carton must have the same disposal date and be covered by the same records disposition schedule and item.
 - (3) Pack records upright in the Center cartons.

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- (4) Arrange the records the same way as in the original file.

Leave guides and tabs in the records if they will help the Center service the files.

- (5) Pack boxes as fully as you can, still leaving room for referencing the records. Leave about 1 inch of space, more if interfiles will be added later. Don't add extra material on the bottom, sides or top of the records in the box.
- (6) Pack letter-size folders the 12-inch way facing the front of the carton. Pack legal-size folders the 15-inch way facing the left of the carton. The unstapled 12-inch side of the carton is the front. See Exhibit 6-3.
- (7) In the upper right corner of the front of each packed box, mark the number of the box and the total number in the transfer (e.g., 1/12, 2/12, etc.). These are agency box numbers used to find the records in the Center. See Exhibit 6-3. The numbers must be at least 1-1/2" high and written directly onto the box with a black felt-tip marker.
- (8) Prepare a detailed inventory listing (original and one copy) of the contents of each box for future reference. (See Appendix 2.) Exception: Also make a copy for the Center when the SF 135 covers unscheduled records or records scheduled as permanent or potentially archival.
- (9) Close the top of each carton by tucking the flaps alternately over and under each other. See Exhibit 6-3.
- (10) Don't mix odd-size and standard-size cartons in one shipment. Exception: Ship mixed sizes together when necessary to maintain the integrity of a record series. Example: A shipment of contract files in standard cartons and the related drawings in odd-size bundles.
- (11) When retiring fiscal records, don't mix accountable officers' account records with other HUD fiscal records.

6-6. HOW TO PREPARE SF 135. To retire records to a Center, prepare Standard Form 135, Records Transmittal and Receipt, in an original and four copies. See Exhibit 6-4. The continuation sheet is SF 135A (Exhibit 6-5). Prepare separate SF 135's to retire accountable officers' account records apart from other HUD fiscal records. These instructions on filling out SF 135 are in addition to those on the back of the form:

- a. Item 1. To. Exhibit 6-1 gives the mailing address of each Center and describes the area it serves.
- b. Item 2. Agency Transfer Authorization. For Headquarters and Regional Offices, the Records Management Liaison Officer (RMLO) signs here. Don't use a rubber stamp.

- c. Item 3. Agency Contact.
 - (1) For Headquarters: The Records Center Liaison Unit in the Management Services Division, Office of Administrative and Management Services, Administration.
 - (2) For Regional Offices: The Regional RMLO. Give the RMLO's FTS number if outside the Center's local calling area.
- d. Item 5. From. Give the name and complete address of the office which will make the final delivery or shipping arrangements:
 - (1) In Headquarters: The Records Center Liaison Unit.
 - (2) In Regional Offices: Usually the Administrative Services Division.
- e. Item 6(a). RG. Use record group (RG) number 207. RG 31 (Federal Housing Administration) and RG 196 (Public Housing Administration) are closed to records created after November 1965.
- f. Item 6(c). Number. Leave blank.
 - (1) Who Assigns Accession Numbers:
 - (a) For Headquarters shipments: The Records Center Liaison Unit assigns accession numbers from a block of numbers the Washington National Records Center reserves for HUD. Exception: Headquarters offices sometimes can get accession numbers in advance from the Unit.
 - (b) For Regional and Field Office shipments: The Regional Federal Records Center.
 - (2) How They Are Assigned. Accession numbers are assigned based on the types and sizes of records in a shipment and on their disposal dates:
 - (a) All records in the same series with the same disposal date are given one accession number.
 - (b) If records in the same series cover several years and so have different disposal dates, they are given different accession numbers.
 - (c) Odd-size and standard-size cartons sent in one shipment are given different accession numbers. Different numbers allow the records to be kept separately in proper sized shelving.
- g. Item 6(d). Volume. Each standard carton holds one cubic foot of records.

h. Item 6(f). Series Description.

- (1) Give the series title, type of record, inclusive dates, and name of creating organization.
- (2) Give the box size if not standard: i.e., half-size.

If the records being described are...	THEN item 6(f) must...
Permanent	Include any relevant historical data on the organization.
GAO site audit records	Identify the records as GAO site audit records.
Accountable officers' account records (General Records Schedule 6, item 1)	Include this statement: "The records described above do/do not pertain to American Indians." (Use either "do" or "do not", whichever is appropriate.)

- i. Item 6(h). Disposal Authority. Give the HUD records disposition schedule or General Records Schedule and item number covering the records.

6-7. HEADQUARTERS INSTRUCTIONS FOR SUBMITTING SF 135.

a. File Custodian or Preparer:

- (1) Attaches the original of the detailed inventory listing to the office copy of the SF 135. Keeps this copy to reference records in the Washington National Records Center and to review proposed destructions by the Center.
- (2) Attaches a copy of the listing to a copy of the SF 135 marked for the Records Center Liaison Unit. Sends that copy plus the original and remaining two copies of the SF 135 to their RMLO. Includes an extra copy of the listing for the Center when the SF 135 covers unscheduled records or records scheduled as permanent or potentially archival.

- b. RMLO: Reviews the SF 135 and signs and dates Item 2. Sends all copies to the Records Center Liaison Unit.

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c. Records Center Liaison Unit:

- (1) Reviews the SF 135 and inventory listing to be sure they are prepared properly. If not, makes minor pen-and-ink corrections or returns them for revision.
- (2) When necessary, inspects the boxed records to be sure that they are eligible for retirement and that proper procedures were followed. Consults with the sending office to solve any problems.
- (3) Notifies the sending office if space is available in the HUD Building staging area to hold the records temporarily until pickup by the Center.

IF space is...	THEN the sending office...
Available	Moves the records into the staging area, by using office staff or requesting laborers. (Labor service requests must be coordinated with the Records Center Liaison Unit before being sent to the Facilities Operations Division, Office of Administrative and Management Services, Administration.)
Not available	Keeps the records in office space until picked up for delivery to the Center.

Warning: Don't send records to the staging area without the Unit's approval.

- (4) Marks the accession number on the SF 135 and in the upper left corner of the front of each box, if not already done. The number must be at least 1-1/2" high and written directly onto the box with a black felt-tip marker. The Unit also makes sure the boxes are properly packed and numbered.
 - (5) Keeps a copy of the SF 135 with attached inventory listing as a suspense copy. Sends the original SF 135 and other 2 copies to the Center. Makes sure a copy of the inventory listing is included for the Center when the SF 135 covers unscheduled records or records scheduled as permanent or potentially archival. The Center must receive the SF 135 at least 10 workdays before the pickup date.
- d. Washington National Records Center: Reviews the SF 135 for completeness and to insure that the records are eligible for retirement. If approved, returns 2 copies of the SF 135 to HUD to show the Center approves shipping the records.

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- e. Records Center Liaison Unit. Keeps one returned copy of the SF 135 and places the other copy (used as a receipt copy) in the first box of the first accession listed on the SF 135.

Consolidates retirements and serves as contact with WNRC for pickup of the records (see par. 6-9).

6-8. REGIONAL AND FIELD INSTRUCTIONS FOR SUBMITTING SF 135. Each Regional and Field Office must follow the current procedures and practices of the Federal Records Center for that particular area. In general, the procedures will be:

a. File Custodian or Preparer:

- (1) Attaches the original of the detailed inventory listing to one copy of the SF 135. Keeps this copy to reference records in the Federal Records Center and to review proposed destructions by the Center.
- (2) Attaches a copy of the listing to a copy of the SF 135 marked for the Regional Administrative Services Division. Sends that copy plus the original and remaining two copies of the SF 135 to the regional RMLO. Includes an extra copy of the listing for the Center when the SF 135 covers unscheduled records or records scheduled as permanent or potentially archival.

b. Regional RMLO: Reviews the SF 135 and signs and dates Item 2. Sends all copies to the Regional Administrative Services Division.

c. Regional Administrative Services Division:

- (1) Reviews the SF 135 and inventory listing to be sure they are prepared properly. If not, makes minor pen-and-ink corrections or returns them for revision.
- (2) When necessary, inspects the boxed records to be sure that they're eligible for retirement and that proper procedures were followed. Consults with the sending office to solve any problems.
- (3) Keeps a copy of the SF 135 with attached inventory listing as a suspense copy. Sends the original SF 135 and other 2 copies to the Center. Makes sure a copy of the inventory listing is included for the Center when the SF 135 covers unscheduled records or records scheduled as permanent or potentially archival. The Center must receive the SF 135 at least 10 workdays before the pickup date.

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d. Federal Records Center

(1) Reviews the SF 135 for completeness and to insure that the records are eligible for retirement. If approved, marks:

(a) The accession number for each series in column 6(c) of the SF 135.

(b) The location number for the first carton in each series in column 6(j).

(2) Returns two copies of the SF 135 to HUD to show the Center approves shipping the records. If the Center doesn't reply within two weeks, the records may be shipped without further notice.

e. Office Holding the Records Before Shipment: If not the Regional Administrative Services Division, that Division marks their copy of the SF 135 with the accession and location numbers and sends the two returned copies to the holding office. The holding office:

(1) Makes sure the boxes are properly packed and numbered for retirement.

(2) Marks the accession number in the upper left corner of the front of each box. The number must be at least 1-1/2" high and written directly onto the box with a black felt-tip marker.

(3) Places one returned copy of the SF 135 in the first box of the first accession listed. Keeps the other as a suspense copy.

f. Regional Administrative Services Division: Consolidates retirements and arranges for delivery or shipment of the records (see par. 6-10).

6-9. HEADQUARTERS INSTRUCTIONS FOR USING WNRC PICKUP SERVICE. The Washington National Records Center (WNRC) provides monthly pickup service from HUD Headquarters for shipments of 24 boxes or more. The HUD contact is the Records Center Liaison Unit in the Management Services Division, Office of Administrative and Management Services, Administration.

a. Time Limit. Records must be available for pickup as soon as possible and within 90 days after HUD receives the annotated copies of the SF 135. HUD must promptly explain to WNRC if the 90-day time limit cannot be met. Otherwise, WNRC will return the SF 135, and the paperwork will have to be redone.

b. How to Prepare Cartons for Delivery. Close the cartons by tucking the flaps alternately over and under each other (see Exhibit 6-3). Do not use labels. If needed, the Records Center Liaison Unit reinforces the cartons either by placing a cardboard liner inside or by taping the corners or edges of the closed carton.

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c. How to Load Skids or Pallets:

(1) Skids are usually delivered to HUD before the scheduled pickup date so they can be loaded and ready to go when the truck

arrives. The Records Center Liaison Unit loads the skids following the diagram and instructions in Exhibit 6-6. When loading different sized accessions on the same skid, the small accessions should be placed toward the front.

- (2) At the time records are scheduled for pickup, the Unit notifies WNRC if they will be loaded on pallets, instead of skids. See Exhibit 6-7 for an example of a properly stacked pallet.
- d. Advance Notice of Pickup. At least 1 or 2 days in advance, WNRC notifies the Records Center Liaison Unit of the scheduled pickup date.
- e. Driver Inspection. WNRC's truck drivers inspect all accessions to ensure that the cartons are properly marked with accession and box numbers and correctly loaded on the skids. The drivers will not pick up:
- (1) Incorrectly marked or loaded boxes. If the problem can be corrected quickly, the drivers will wait a reasonable period of time. If not, a new pickup date will be scheduled. They will call their supervisor if they cannot resolve the problem alone.
 - (2) An accession with more boxes than listed on the SF 135. A new SF 135 must be submitted for approval. If boxes are missing from the accession, complete an Optional Form 11, "Reference Request--Federal Records Centers," for each box and annotate and initial the box copy of the SF 135.
 - (3) Records for which WNRC has not received an SF 135.
- f. Notice of Receipt. After receiving the records, WNRC:
- (1) Checks to ensure that the cartons are properly packed.
 - (2) Completes Item 4 of the SF 135.
 - (3) Marks in Item 6(j) the location number for the first carton in each series.
 - (4) Returns a copy of the marked SF 135 to HUD as a receipt. The Records Center Liaison Unit keeps the receipt copies or forwards them to the sending office, as appropriate.

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- g. Special Arrangements. Contact the Records Center Liaison Unit to make any special arrangements with WNRC:
- (1) Any accession with current or formerly "restricted data" requires special arrangements with WNRC.
 - (2) WNRC will try to accommodate HUD emergencies. WNRC may also have emergencies which may cause a change in the delivery

schedule.

- h. Exception: The above procedures do not apply to single family home mortgage insured case files. HUD delivers those files to WNRC weekly by truck as part of a reimbursable agreement with WNRC.

6-10. REGIONAL AND FIELD INSTRUCTIONS FOR SHIPPING OR DELIVERING RECORDS TO CENTER.

- a. How to Prepare Cartons for Shipment or Delivery. If needed, reinforce cartons either by placing a cardboard liner inside or by taping the corners or edges of the closed carton.
 - (1) When delivering by truck: Close the cartons by tucking the flaps alternately over and under each other (see Exhibit 6-3).
 - (2) When shipping by freight, express or parcel post: Securely tape the top of the closed cartons with filament tape. Don't tape over the numbers on the front of the carton. Put an address label on the top of each carton (see Exhibit 6-3).
- b. How to Load Cartons: Load a large shipment onto trucks or railroad cars in reverse numerical order of the agency box numbers. So, the first carton unloaded at the Center will be agency box number 1 with the rest in order. The Center then can move the records directly to the shelves with little handling. See Exhibits 6-6 and 6-7 for examples of how to load skids and pallets.
- c. When to Ship or Deliver the Records: Ship or deliver the records to the Center as soon as possible, but within 90 days after getting the annotated copies of the SF 135. Promptly explain to the Center if shipment cannot be made within 90 days. Otherwise, the Center will return the SF 135 and the paperwork will have to be redone.
- d. How to Ship Records: Ship records to a Center in the least costly way. HUD pays the costs. Properly packed cartons weigh about 25 to 30 pounds each. Shipping regulations require the boxes to be sealed and addressed.
 - (1) For small shipments (under 24 boxes): Use regular United States mail or United Parcel Service (UPS). UPS shipment has the advantage of automatic registration and can be traced.

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- (2) For larger ones: Ship by commercial motor or rail freight, or mail the records in postal or bulk mail containers. To get the lowest freight rate, enter the following description on bills of lading or other shipping documents:

"Records, office, old, in boxes, securely protected against opening in transit. (The agreed or declared value of this property is hereby stated by the shipper not to exceed 3.5 cents per pound.)"

- e. Advance Notice of Delivery: Centers require advance notice of delivery of large shipments (50 boxes or more) as follows:
 - (1) When using HUD trucks: Call the Center 24 hours before delivery so the trucks can be unloaded promptly.
 - (2) When using commercial carriers: Tell the carrier's dispatcher to call the Center 24 hours before delivery. Note this instruction on the bill of lading.
 - (3) When sending more than 500 cubic feet: Send a written notice to the Center Director two weeks before the planned shipment.
- f. Notice of Receipt: Centers will not accept improperly marked, taped, or packed shipments or those with boxes out of numerical order. Such shipments will be returned, and HUD will have to pay any additional cost. For a properly prepared shipment, the Center:
 - (1) Completes Item 4 of the SF 135.
 - (2) Marks the location number for the first carton in each series in item 6(j).
 - (3) Returns a copy of the marked SF 135 to HUD as a receipt. The Records Center Liaison Unit keeps receipt copies sent to HUD Headquarters or forwards them to the sending office, as appropriate.

6-11. HOW TO RECALL RECORDS FROM CENTER. Records stored in Federal Records Centers are always available to the office that retired them. The office may ask for return of the records themselves or, under special circumstances, for data from the records. Centers answer most requests within 3 to 5 workdays.

a. Preparing Requests.

- (1) For records or data (other than OPF's and EMF's): Fill out an Optional Form 11, "Reference Request--Federal Records Centers," for each folder or box needed. See Exhibit 6-8. Exception: Use one OF 11 to request two or more adjoining

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folders or boxes. OF 11 is available from GSA supply sources. To fill it out:

- (a) Check the receipt copy of the SF 135 for the accession

number and Center location number of the records.

- (b) Check the detailed inventory listing attached to the SF 135 for the agency box number of the carton where the records needed are stored.
 - (c) Note in the "Remarks" section if the records are being requested under the Freedom of Information or Privacy Acts to ensure priority handling.
- (2) For OPF's of separated employees: Prepare Standard Form 127, "Request for Official Personnel Folder," in duplicate. See Exhibit 6-9. Use a separate SF 127 for each folder needed. SF 127 is available from GSA supply sources.
 - (3) For data from an OPF (not return of the folder): Prepare the request as a letter: Include the separated employee's name, date of birth, social security number, and separation date.
 - (4) For EMF's and other employee medical records:

IF employee's medical records were retired to...	THEN fill out...
National Personnel Records Center (NPRC)	SF 184, "Request for Employee Medical Folder" (See Exhibit 6-10.)
Other Federal Records Centers prior to September 1, 1984)	OF 11, "Reference Request--Federal Records Centers" Include: <ul style="list-style-type: none">. Any other information which would help locate the records requested.. Name and address of HUD-designated manager (i.e., medical, health, safety or personnel officer or other).

b. Coordination.

- (1) Headquarters: Send written requests through the Records Center Liaison Unit. Exceptions:
 - (a) Certain Housing employees in the Single Family Records Section are authorized to request single family home mortgage insured case files directly from the Center.

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- (b) In emergencies, the Housing and Community Planning and Development (CPD) RMLO's and certain other Housing and CPD employees are authorized to request records directly from the Center in the absence of the Records Center Liaison Unit and the DRMO.

- (2) Regional and Field Offices: Send written requests through the Regional Administrative Services Division.
- c. Emergency Telephone Requests: Authorized employees (see par. b above) can request records from the Center by telephone only in rare cases of real emergency. Requesters must:
- (1) Call within the Center's scheduled hours for emergency telephone requests.
 - (2) State the nature of the emergency need for the records.
 - (3) Give a control or log number, when possible, if the Privacy Act or Freedom of Information Act is the reason for the emergency.
 - (4) Provide the same information as for a written request (see par. a above).
 - (5) Arrange for a HUD messenger to pick up the records or pay for the records to be returned to HUD via express mail.
- d. Delivery. The Center usually sends requested material by U.S. Postal Service regular mail or by United Parcel Service. In emergencies, where the requestor is in the same city as the Center, HUD may pick up the material.
- e. Center Identification. To aid refiling, check unboxed files from the Center to be sure that this information is clearly marked on the folder:
- (1) Center's name.
 - (2) Shelf location.
 - (3) Accession number.
 - (4) Box number.
- f. Returning Charged-Out Records. Return records to the Center through the same HUD office as the request (see par. b above). Records must be returned in the original folders or boxes for accurate refiling. If a box is damaged and unusable, copy all the information from its front onto the front of the new box.

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- g. Records Relocation. When records have to be moved within the Center, NA Form 13016, "Notice of Accession Location Change," is sent to HUD the month after relocation (Exhibit 6-11). The new location numbers must be marked on HUD copies of the SF 135 for future reference.

6-12. HOW DO CENTERS GET HUD CLEARANCE TO DESTROY RECORDS WITH DEFINITE DISPOSAL DATES? Records at the National Personnel Records Center are destroyed following GRS 1 and 2 without HUD clearance. The Federal Records Centers clear the destruction of other HUD records with definite disposal dates as follows:

- a. Advance Notice. Ninety days before the proposed destruction, the Center sends NA Form 13001, "Notice of Intent to Destroy Records," to the HUD office which retired the records (Exhibit 6-11). In Headquarters, the Records Center Liaison Unit receives the form and sends it to the proper office.
- b. Handling Misdirected Forms. Offices must immediately transfer misdirected NA Forms 13001 to the correct offices. In Headquarters, the Records Center Liaison Unit must be notified of the transfer. Any office failing to transfer the form is accountable for problems caused by the records' destruction. The Records Center Liaison Unit will do all possible to ensure that the forms are not misdirected.
- c. When the HUD Office Responsible for the Records Concurs With the Proposed Disposal: The office marks their copies of the SF 135 to show that the records were destroyed. No other action is needed. The Center automatically destroys the records on the date authorized by the approved schedule.
- d. When the Responsible HUD Office Nonconcurs:
 - (1) The HUD Office: Justifies further retention in writing on the back of the NA Form 13001 and proposes a new disposal date. The justification must include the specific need (e.g., audit or legal issues) for the records. Headquarters offices send the marked form to the Records Center Liaison Unit; Regional and Field Offices, to their Regional RMLO.
 - (2) The Unit or Regional RMLO: Reviews the justification to make sure it is adequate. If adequate, sends the form to the Center. If inadequate, so notifies the preparing office.
- e. When the Responsible HUD Office Fails to Act in Time: To prevent disposal, the Form with HUD's written nonconcurrence must be returned to the Center before the 90-day period ends. If the Center doesn't get the form in time, they will assume concurrence and destroy the records as scheduled.

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- f. Reminder Given. In Headquarters, the Records Center Liaison Unit notifies the office responsible for the records two weeks before the 90-day period ends. The Unit reminds the office that the records will be automatically destroyed unless the office nonconcurs in writing.

6-13. HOW DO CENTERS GET HUD CLEARANCE TO DESTROY RECORDS WITH CONTINGENT

DISPOSALS?

- a. Notice. Once a year, the Center sends NA Form 1300, "Agency Review for Contingent Disposal," to the HUD office which retired the records (Exhibit 6-11). In Headquarters, the Records Center Liaison Unit receives the form and sends it to the proper office.
- b. Handling Misdirected Forms. Offices must immediately transfer misdirected NA Forms 1300 to the correct offices. In Headquarters, the Records Center Liaison Unit must be notified of the transfer. Any office failing to transfer the form is accountable for the problems it causes. The Records Center Liaison Unit will do all possible to ensure that the forms are not misdirected.
- c. When the HUD Office Responsible for the Records Concur With Disposal: The office concurs, in writing, on the back of the form and marks their copies of the SF 135 to show that the records were cleared for disposal. Headquarters offices send the marked form to the Records Center Liaison Unit; Regional and Field Offices, to their Regional RMLO. The Unit or Regional RMLO forwards the form to the Center.
- d. When the Responsible HUD Office Nonconcur: The office nonconcur, in writing, on the back of the form and gives the reasons and a new review date. Headquarters offices send the marked form to the Records Center Liaison Unit; Regional and Field Offices, to their Regional RMLO. The Unit or Regional RMLO forwards the form to the Center.
- e. When the Responsible HUD Office Fails to Act in Time: If the Center does not get a response within the 90-day period, they may return the records to HUD and reject future retirements of that record series.
- f. Reminder Given. In Headquarters, the Records Center Liaison Unit notifies the office responsible for the records two weeks before the 90-day period ends. The Unit reminds the office that the records may be returned and future retirements rejected if the office does not respond.

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- 6-14. LEGAL TITLE AND ACCESS TO RETIRED RECORDS. HUD records retired to a Center continue to be HUD's property. Centers will allow access to retired HUD records or disclose information from them only to:
- a. HUD employees requesting records or information for official business.
 - b. Others allowed under access rules set by HUD. In general, these rules require those outside HUD to get HUD's permission in advance to review or copy HUD records stored in a Center:

- (1) Such requests are covered by:
 - (a) Handbook 1327.1, Freedom of Information.
 - (b) Handbook 1325.1, Privacy Act Handbook.
- (2) Requests for access to HUD records stored in the Federal Records Centers are considered Freedom of Information Act requests. So that HUD can better respond, the request should be in writing and should:
 - (a) State whether the requester is working independently or on behalf of an organization (identify the organization).
 - (b) State the need for access to the records, i.e., how the requester intends to use the information requested.
 - (c) Reasonably describe the desired record(s) by subject matter, number and date, where possible. Since HUD's efforts to locate the records will be based on this description, the requester should be as specific as possible.

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FEDERAL RECORDS CENTERS

Exhibit 6-1

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

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

The entire Federal Government personnel records of separated Federal 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 Records)
111 Winnebago Street
St. Louis, MO 63118

Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island.

Federal Records Center
380 Trapelo Road
Waltham, MA 02154

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

Federal Records Center
Military Ocean Terminal, Bldg. 22

Zone.	Bayonne, NJ 07002
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
Kansas, Iowa, Nebraska, and Missouri except greater St. Louis area.	Federal Records Center 2306 East Bannister Road Kansas City, MO 64131

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AREA SERVED

MAILING AND SHIPPING ADDRESS

Texas, Oklahoma, Arkansas, Louisiana, and New Mexico.

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

Shipping address only (do not use for mail): 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

RECORDS CENTER CARTONS

Exhibit 6-2

IF THE RECORDS TO BE RETIRED ARE:	THEN USE THIS BOX: SIZE	NSN NO.
Letter-size or legal-size.	14-3/4" long by 12" wide by 9-1/2" deep, lapped joint fastened.	8115-00-117-8344 (See notes 1 and 2) 8115-00-117-8249 (See notes 1 and 3)
Filed in 10" high pressboard folders.	15" long by 12" wide by 10" deep.	8115-00-290-3379 (See note 2)
Half-size or smaller.	14-3/4" long by 9-1/2" wide by 4-7/8" deep.	8115-00-117-8338
Magnetic tape.	14-3/4" long by 11-3/4" wide by 11-3/4" deep.	8115-00-117-8347
Microfiche.	14-3/4" long by 6-1/2" wide by 4-1/2" deep.	8115-01-025-3254
Archival microfiche.	14-3/4" long by 6-1/2" wide by 5" deep.	8115-01-132-1932
X-rays	18" long by 15" wide by 5-1/2" deep.	8115-00-290-3386
Oversized or undersized records.	Contact the local Federal Records Center for shipping instructions.	

Notes:

1. Called a "Center carton." Holds 1 cubic foot of records.
2. Needs to be taped on bottom.
3. Box has tuck bottom which doesn't need to be taped. Easier to assemble but costs more and is less sturdy.