

## CHAPTER 7. RECORDS TRANSFERS OR LOANS

### Section 1. General

- 7-1. Policy. In general, HUD records can only be transferred or loaned to other Federal agencies as described in this Chapter. Exceptions:
- a. Records eligible for destruction can be donated to a non-Federal organization or individual under certain conditions (see par. 5-8).
  - b. A contractor or grantee can be given temporary physical custody of HUD records when:
    - (1) Required by the terms of the contract or grant, and
    - (2) Not practical or cost effective for the contractor or grantee to review the records in HUD offices or for HUD to make them copies of the records.

### Section 2. Transfers to National Archives or Presidential Libraries

- 7-2. WHAT RECORDS CAN BE TRANSFERRED?
- a. The National Archives accepts only records which they decide have enough historical or other value to deserve permanent retention.
  - b. Permanent records may be in a non-textual form (e.g., still photographs, sound recordings, magnetic tape master files, maps or design and construction drawings).
  - c. Audiovisual records transferred to the National Archives for permanent retention must include the specific record elements listed in Exhibit 7-1. When creating audiovisual records, HUD offices must create and maintain the record elements required by Exhibit 7-1 if there is any possibility that National Archives may select the records for permanent retention. This also applies to audiovisual records created by a contractor.
  - d. Exhibit 7-2 lists the types of cartographic and architectural records which may be transferred to National Archives if the National Archives and Records Administration (NARA) selects them for permanent retention.
  - e. Automated records appraised by NARA as permanent must be sent to the National Archives in this format:
    - (1) On one-half inch 7 or 9 track tape reels. If you have both 7 and 9 track tape drives, generate the tapes on 9 track.
    - (2) Written in ASCII or in EBCDIC.

12/89

7-1

- 
- (3) With all extraneous control characters removed from the

data except:

- (a) Record length indicators for variable length records,  
or
  - (b) Marks designating a datum, word, field, record, block,  
or file.
- (4) Blocked no higher than 30,000 bytes per block, at 800,  
1600, or 6250 bpi.

7-3. STANDARD FORM 258 TRANSFERRING RECORDS TO NATIONAL ARCHIVES. The SF 258 is called "Request to Transfer, Approval and Receipt of Records to National Archives of the United States." See Exhibit 7-3.

- a. Uses of SF 258: To transfer records to the National Archives which are either:
  - (1) Listed as permanent in a HUD records disposition schedule or offer approved by NARA after May 14, 1973, or
  - (2) Part of a record series transferred to the National Archives earlier.
- b. Who Prepares the Form?
  - (1) The HUD office having custody, to transfer records which are:
    - (a) Scheduled as permanent in a HUD records disposition schedule approved by NARA after May 14, 1973, and
    - (b) Stored in HUD space.
  - (2) NARA, to transfer all other permanent records.
- c. How to Prepare SF 258: See the back of the form. Also:
  - (1) As part of the records description, describe:
    - (a) The records' physical form, if not textual. Examples: Film, sound recordings, maps, automated (ADP) records; microfiche.
    - (b) Any indexes or finding aids to the records included in the transfer.
  - (2) When transferring automated records, follow the instructions in Exhibit 7-4 in addition to those on the back of the form.
- d. Submission Procedures:

- (1) When a HUD office prepares the SF 258: That office sends it to the Departmental Records Management Officer (DRMO). The DRMO signs and dates it and sends it to NARA 60 days before the requested transfer date. Exception: Send automated files and related documentation to National Archives at the same time as the SF 258 and SF 277(s) transferring them.
- (2) When NARA prepares the SF 258: NARA sends it to HUD's DRMO. The DRMO clears it through the HUD office having legal custody of the records, if needed. The DRMO signs and dates the form and returns it to NARA 60 days before the requested transfer date.

7-4. STANDARD FORM 277 DESCRIBING PERMANENT AUTOMATED FILES FOR TRANSFER. The SF 277, "Computer Magnetic Tape File Properties," is used to describe automated records being transferred to the National Archives. See Exhibit 7-5. Follow the instructions in Exhibit 7-6 in addition to those on the back of the form.

7-5. PERMANENT RECORDS STORED ON OPTICAL DISK. This paragraph also applies to unscheduled records that may be appraised as permanent (see Chapter 3).

a. These are the only types of optical disks that can be transferred to the National Archives for permanent retention:

- (1) Analog videodiscs that typically contain photographs if they do not require any interactive software or nonstandardized equipment. The original photographs appraised as permanent must be transferred to National Archives with a copy of the videodisc.
- (2) Compact disks used for digital audio playback.

b. Other permanent records stored on optical disk must be converted to paper, microforms or magnetic tape before transfer to the National Archives.

IF the permanent records are converted to...	THEN they must comply with...
Microforms	36 CFR Part 1230
Magnetic tape	36 CFR 1228.188

c. No permanent records can be destroyed after copying onto an optical disk without NARA's approval. Normally, NARA will require that the records be transferred to the National Archives or retired to a Federal Records Center pending transfer, instead of destroying them. However, when the responsible HUD office feels destruction is justified, they must:

- 
- (1) Prepare a disposal list on an SF 115 to request NARA's approval to destroy the records (see Chapter 3), and
  - (2) Certify on the SF 115 that, before transfer to NARA's legal custody, they will convert the optical disk images to paper, microform or magnetic tape meeting the standards in Subchapter B of 36 CFR Chapter XII.
- 7-6. 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 regular current business, the Secretary must so certify in writing to prevent the transfer.
- 7-7. LEGAL TITLE TO TRANSFERRED RECORDS. When records are transferred to the National Archives, legal title passes from HUD to the Archivist of the United States.
- 7-8. TRANSFERS FOR PRESIDENTIAL LIBRARY. Near the end of a President's term, the White House or NARA may request certain papers for a Presidential Library. Only copies of records defined as "personal papers" (see Chapter 8) can be transferred. Requests for such material must be coordinated with the DRMO.

### Section 3. Transfers and Loans to Other Federal Agencies

- 7-9. WHEN IS NARA'S APPROVAL REQUIRED?
- a. NARA must give written approval for one Federal executive agency to transfer records to another, except when:
    - (1) The transfer is required by law, Executive Order, Presidential reorganization plan or Treaty.
    - (2) Records are loaned to another Federal agency for official use on a temporary basis.
  - b. Transfers between HUD offices do not require NARA approval.
- 7-10. HOW TO SCREEN AND INVENTORY RECORDS FOR TRANSFER: A HUD office transferring records to another agency must:
- a. Review all records proposed for transfer. Only those records needed to perform the function, and no more, shall be transferred.
  - b. Screen the records, if cost effective (see par. 5-6), to destroy those eligible for destruction under an approved schedule. Transfer the records as is, if screening is not cost effective.
  - c. Prepare a complete inventory (original and 3 copies) of all records to be transferred. See Appendix 2. Keep one copy for the office files

---

7-11. HOW TO REQUEST NARA'S APPROVAL: When NARA's approval is required, the HUD office making the transfer must:

- a. Prepare a written request containing:
  - (1) A concise description of each series to be transferred. Give the volume in cubic feet and the starting and ending dates of the records.
  - (2) Any restrictions on access to or use of the records.
  - (3) The number of reference requests for the records per month. Include data on who uses them and for what purpose.
  - (4) The number of employees involved in administering the records, if any.
  - (5) The present and proposed physical and organizational locations of the records.
  - (6) Reasons why the proposed transfer is in the Government's best interests.
  - (7) Justification for the transfer.
- b. Attach a copy of the records inventory.
- c. Attach copies of the concurrence (or nonconcurrence) by HUD's Secretary and the head of the Federal agency to receive the records.
- d. Send the complete request to the DRMO for review. The DRMO will forward it to NARA for approval.

7-12. HOW TO SHIP OR DELIVER RECORDS:

- a. Normally, records are removed from filing equipment and packed in standard Center cartons for transfer. See Chapter 6 on where to get the cartons and how to pack, seal, address, number and ship them. In the first carton of the shipment, place:
  - (1) The original of the records inventory.
  - (2) A copy of the records disposition schedule items covering the records being transferred.
- b. Exception: A large volume of records can be shipped in the filing equipment in which they are stored if special circumstances justify it. Request the DRMO's approval, in writing, and give the justification.

---

IF the request THEN..  
is...

---

Approved	Place the inventory and copy of related schedule items in the first drawer of the first file cabinet in the shipment.
----------	-----------------------------------------------------------------------------------------------------------------------

---

Disapproved	Pack the records in cartons for shipment. See par. a above.
-------------	-------------------------------------------------------------

---

- 7-13. TRANSFER COSTS. The agency sending the records shall not be repaid unless both agencies agree to it beforehand. (Source: 36 CFR 1228.132)
- 7-14. SCHEDULE REVISION. 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 from a transfer. The HUD office involved must:
- a. Fill out Form HUD-552, "Request for Change in HUD Records Schedule," to add or delete schedule items (see Chapter 4).
  - b. Attach a copy of the records inventory.
  - c. Forward the form for approval. See the instructions on the back of the form.
- 7-15. LOANS TO OTHER FEDERAL AGENCIES. As a last resort, HUD records may be loaned to other Federal agencies if giving them copies is not practical.
- a. Prepare a letter (original and a copy) to send with the records. The letter must:
    - (1) List any conditions and limitations placed on the borrowing Federal agency.
    - (2) Describe the loaned records in detail.
    - (3) Remind the borrowing agency that they are accountable for the records while on loan and responsible for returning them on time to the place named.
    - (4) Require that they comply with any restrictions on the records (such as the Privacy Act) while in their custody.
    - (5) Ask that they sign the enclosed copy of the letter and return it as a record of the loan agreement.

12/89

7-6

---

b. For exceptions to these procedures: Submit a written request to

the DRMO. Justify the exception and describe what other system will be used to control the loaned records. The DRMO will approve or disapprove the request in writing. Until the exception is approved, the procedures in par. a must be followed.

- c. Warning: Employees who loan HUD records to other agencies without using these procedures will be held accountable for any records lost.

#### Section 4. Transfers Between HUD Offices

7-16. PURPOSE: An interoffice transfer of records may be required when:

- a. A reorganization consolidates, moves or closes HUD offices.
- b. A centralized function or activity is decentralized or vice versa.

7-17. POLICIES:

- a. The sending office must advise the receiving office of the status of all ongoing work for project continuity.
- b. Official files must transfer at the same time final approval authority and program responsibility are transferred.
- c. Only active records should be transferred. Inactive records will be retired to Federal Records Centers or destroyed under approved records disposition schedules.
- d. As much as possible, any staff transferring with specific projects should be allowed to continue working on them.

7-18. POH Responsibilities. Primary Organization Heads (POH's) must:

- a. Insure that all needed records and information are transferred.
- b. Insure that the receiving office is clearly told the status of all work transferred.
- c. Coordinate the overall transfer within their area.

7-19. SPECIAL CASE: TRANSFERRING UNOFFICIAL PERSONNEL FILES. Keeping unofficial personnel files is not encouraged. Potential problems can be avoided if such files are not kept. When staff are transferred with a function:

- a. Destroy any related unofficial personnel files, using General Records Schedule (GRS) 1, item 18.

12/89

7-7

- 
- b. Exception: If management decides to transfer the files based on need, take care that the privacy of such files is not compromised. Send the files through the appropriate personnel

office.

7-20. HOW TO IDENTIFY RECORDS AND FILING EQUIPMENT FOR TRANSFER.

a. Assisted by their RML0, the sending office staff must:

- (1) Identify the record series to be transferred, i.e., only those records needed to carry out the program or function being transferred.
- (2) Make sure only active current records are transferred by:
  - (a) Screening the records, if cost effective (see par. 5-6), to destroy those eligible for destruction under an approved schedule.
  - (b) Retiring to a Federal Records Center any inactive records not eligible for destruction. Send the receiving office copies of any SF 135's covering records related to the transferred program or function. Include SF 135's on earlier records retirements if the records are still in the Center. Make sure the SF 135's show where the records are located in the Center.
- (3) Determine the volume of records to be transferred, using this table:

---

1 Letter-size filing cabinet drawer holds 1-1/2 cubic feet.
1 Legal-size filing cabinet drawer holds 2 cubic feet.
1 36" file shelf holds 3 cubic feet.

---

- (4) Determine what filing equipment (cabinets and shelf files) will be available for transfer or turn-in.
- (5) Notify the receiving office of:
  - (a) The volume of records (in cubic feet) to be transferred, broken down by program area.
  - (b) The amount of excess filing equipment available for transfer, if any.
- (6) Order standard Center cartons for packing and shipping the records if not to be shipped in the filing equipment. This depends on the volume of the records and whether the receiving office needs the filing equipment. A standard Center carton holds 1 cubic foot of records.

12/89

7-8

---

b. Upon finding out the volume of records to be transferred and the filing equipment available, the receiving office must:

- (1) Arrange needed space for the records.
- (2) Determine what filing equipment will be needed. Notify the sending office whether or not they will need the available filing equipment. Order any additional filing equipment needed.

7-21. HOW TO INFORM RECEIVING OFFICE OF STATUS OF TRANSFERRED WORK. The sending office staff must:

- a. Identify files which involve special problems or where additional explanation is required. Insert the name and telephone number of a contact in the front of the file.
- b. Review and update any standard status reports. Make 3 copies.
  - (1) Note on the reports any special problems or unusual circumstances affecting particular projects.
  - (2) Include the names and telephone numbers of sending office staff to contact on the status of such projects. The contact listed in individual files and on status reports should be the same.
- c. Send one copy of the status reports to the receiving office at least a week before the records are transferred. Receiving office staff should review these reports immediately so service is not disrupted and call the sending office if there are any questions.
- d. Call the receiving office to discuss the work being transferred and to provide any needed background information. Such discussions are not the responsibility of clerical personnel nor of those responsible for the physical transfer.

7-22. HOW TO INVENTORY AND SHIP THE RECORDS. The sending office must:

- a. Pack the records in standard Center cartons if not being shipped in the filing equipment. When shipping records in cartons:
  - (1) Pack the folders upright in the cartons, using the existing filing arrangement.
  - (2) Number the cartons with a black felt marker. Show both the number of each carton and the total number of cartons in the shipment (e.g., 1/12, 2/12, etc.)

12/89

7-9

- 
- (3) On the end of each carton, put the address of both the sending and receiving offices in a "From" and "To" format. Use a black felt marker or a typed label. Include the supervisor's name, office, and program involved.
- b. Prepare a detailed inventory listing (2 copies) of the contents of

the cartons or filing equipment:

- (1) List each carton or file cabinet drawer and list the title of each folder in it.
  - (2) Place a single asterisk before titles of files currently being processed.
  - (3) Place a double asterisk before titles of files involving special problems or unusual circumstances.
- c. Insert a copy of the inventory in the first drawer of the first cabinet or first carton of the shipment. Keep a copy of the inventory as backup until the transfer is completed.
- d. Make shipping or delivery arrangements through the appropriate office:

---

IF the sending office is in...	THEN the appropriate office is...
--------------------------------	-----------------------------------

---

Headquarters	Administrative Officer
--------------	------------------------

---

Region	Regional Administrative Services Division
--------	-------------------------------------------

---

- e. Notify the receiving office of the actual shipment or delivery date at least one week in advance. The receiving office must notify the sending office when they receive the records and filing equipment.

12/89

7-10

---

RECORD ELEMENTS FOR AUDIOVISUAL  
RECORDS TRANSFERRED TO NATIONAL  
ARCHIVES

Exhibit 7-1

Audiovisual records transferred to the National Archives for permanent retention must include the specific record elements listed below and needed for preservation, reproduction and reference. (Source: 36 CFR 1228.184)

1. Motion pictures.

- a. HUD-sponsored motion picture films for distribution (informational films):
- (1) Original negative or color original plus separate optical sound track, and
  - (2) Intermediate master positive or duplicate negative plus optical sound track, and
  - (3) Sound projection print.

- b. HUD motion picture films made for internal use (program films):
    - (1) Original negative or color original plus sound, and
    - (2) Projection print.
  - c. HUD-acquired motion picture films: Two projection prints.
  - d. Unedited outtakes and trims (film production discards) selected by NARA as permanent because they show unstaged, unrehearsed events of historical interest or historically significant phenomena and are properly arranged, labeled and described:
    - (1) Original negative or color original, and
    - (2) Work print.
2. Still pictures.
- a. Black and white photographs:
    - (1) Original negative,
    - (2) Duplicate negative if the original is nitrate or glass, and
    - (3) Captioned print.
  - b. Color photographs:
    - (1) Original color transparency or color negative,
    - (2) Captioned print, and

12/89

7-11

- 
- (3) Internegative if one exists.
  - c. Slide sets:
    - (1) Original set,
    - (2) Reference set, and
    - (3) Related audio recording and script if one exists.
  - d. Other pictorial records (e.g., posters, original artwork, and filmstrips):
    - (1) Original, and
    - (2) Reference print.
3. Sound recordings.
- a. Conventional, mass-produced, or multiple-copy disc recordings:

- (1) Master tape,
    - (2) Matrix or stamper of each sound recording, and
    - (3) Disc pressing of each recording.
  - b. Magnetic sound recordings usually on audio tape (reel-to-reel, cassette, or cartridge):
    - (1) Original tape or earliest generation of recording available, and
    - (2) "Dubbing" if one has been made.
4. Video recordings.
- a. Original or earliest generation, or
  - b. Kinescope of the recording.
5. Finding aids and production documentation:
- a. Existing finding aids (e.g., data sheets, shot lists, continuities, review sheets, catalogs, indexes, lists of captions, and other textual documentation needed or helpful to properly identify, retrieve, and use audiovisual records), and
  - b. Production case files or similar files that include copies of production contracts, scripts, transcripts, and appropriate documentation on the origin, acquisition, release, and ownership of the production.

12/89

7-12

---

TYPES OF CARTOGRAPHIC AND  
ARCHITECTURAL RECORDS FOR  
TRANSFER TO NATIONAL ARCHIVES

Exhibit 7-2

The types of cartographic and architectural records listed below may be transferred to the National Archives if selected for permanent retention. (Source: 36 CFR 1228.186)

1. Maps and charts.
  - a. Manuscript maps; printed and processed maps on which manuscript changes, additions or annotations have been made for record purposes or which bear manuscript signatures to indicate official approval; and single printed or processed maps that have been attached to, interfiled with, or in any way made an integral part of other records.
  - b. Master sets of printed or processed maps issued by HUD. Includes a copy of each edition issued. Master sets should be kept apart from stocks of maps kept for distribution and from maps received from

other agencies.

- c. Computer-related and computer-plotted maps that cannot be reproduced by the National Archives because of destruction of the magnetic tapes or other stored data or because of the unavailability of ADP equipment.
  - d. Index maps, card indexes, lists, catalogs, or other finding aids that may help in using the maps transferred.
  - e. Records related to preparing, compiling, editing, or printing maps. Examples: Manuscript field notebooks of surveys, triangulation and other geodetic computations, and project folders containing specifications to be followed and appraisals of source materials to be used.
2. Aerial photography and remote sensing imagery.
- a. Vertical and oblique negative aerial film, conventional aircraft.
  - b. Annotated copy negatives, internegatives, rectified negatives, and glass plate negatives from vertical and oblique aerial film, conventional aircraft.
  - c. Annotated prints from aerial film, conventional aircraft.
  - d. Infrared, ultraviolet, multispectral (multiband), video, imagery radar, and related tapes, converted to a film base.
  - e. Indexes and other finding aids in the form of photo mosaics, flight line indexes, coded grids, and coordinate grids.

7-13

12/89

---

3. Architectural and related engineering drawings.
- a. Design drawings, preliminary and presentation drawings, and models which document the evolution of the design of a building or structure.
  - b. Master sets of drawings which document the condition of a building or structure in terms of its initial construction and later alterations. Includes final working drawings, "as-built" drawings, shop drawings and repair and alteration drawings.
  - c. Drawings of repetitive or standard details of one or more buildings or structures.
  - d. "Measured" drawings of existing buildings and original or photocopies of drawings reviewed for approval.
  - e. Related finding aids and specifications to be followed.

12/89

Instructions for transferring electronic files to the Center for Electronic Records of the National Archives

The reverse side of the SF 258 provides some instructions for completing the form. Below are elaborations on the instructions which should be useful for establishing transfer procedure at your agency. The comments correspond to specific blocks on the SF 258:

Initiated by Agency:

The instructions indicate that you should send the form sixty days before the planned date of transfer. You do not have to do this. In fact, the SF 258 should accompany the tapes.

Item 1, Type of Action

You should only be transferring scheduled items. If you cannot locate an item on the schedule, contact us. If we are unable to assist you in locating the item on the records schedule, we will refer you to the appropriate appraisal archivist so that the file can be scheduled prior to transfer.

Item 2, To

The form, the tapes, and the documentation should come directly to us at:

Archival Services Branch (NNXA)  
Center for Electronics Records  
National Archives  
Washington, DC 20408

Item 4, Current Location of Records

You can put the name of the unit responsible for storage of the tapes or whatever is applicable. Since you will be sending the tapes at the same time as you send the forms, this block is not as important as others.

7-17

12/89

---

2228.1 Rev-3  
Exhibit 7-4

Item 5, Records Data:

5A; Describe the records.

You will attach to the SF 258 an SF 277, which will contain the specific description of the file so you should put a brief statement like:

Survey of Library Users and Holdings, 5 magnetic tapes (35 datasets) and

6 cubic inches of documentation including a user's guide, a set of input source documents, record layout, codebook and related reports.  
(See attached SF 277)

Indicate what documentation is being sent with the file. Documentation will vary from file to file. We need whatever documentation is available for the file including record layouts, codebooks, user's guides, input source documents such as questionnaires, related reports, and information about the methodology used in creating the file. These elements of documentation may not exist for every file but we need the most complete documentation possible for every file.

Block 08 on the SF 277 is for documentation. Since there is more space on the SF 258 than on the SF 277 to describe documentation, you may choose to put the full description of the documentation on the SF 258. There has to be some indication of the documentation on the SF 258.

5C and 5D.

If there are any files that have restrictions, these should specifically indicate the type of restriction; the length of time for which the data is restricted; and the particular variables that are restricted. If there are multiple SF 277's describing individual datasets attached to the SF 258, you should indicate in Block 32 on each SF 277 if the dataset has restrictions. There still has to be an indication of restrictions on the SF 258.

5E.

You should indicate the job number of the records schedule on which the records are described and the schedule item number for the records.

Send the entire SF 258, the original and all copies, to the Center for Electronic Records. Once the SF 258, the tapes, and the documentation have been received and the preliminary processing the file has been completed, we will sign the SF 258 and send back the agency copy for your records.

The SF 258, the SF 277's, the tapes, and the documentation should come directly to the branch at:

Archival Services Branch (NNXA)  
Center for Electronic Records  
National archives  
Washington, DC 20408

12/89

7-18

---

ADDITIONAL INSTRUCTIONS FOR  
COMPLETING OF SF 277

2228.1 REV-3  
Exhibit 7-6

Instructions for transferring electronic files to the Center for Electronic Records of the National Archives.

Completing the Standard Form 277, "Computer Magnetic Tape File Properties":

The SF 277 contains the most important information to us in processing the

files. We need information at the dataset level for each of the files you send. The number of the SF 277's which have to be completed for each file depends on the number of datasets and the technical specifications of the datasets in each file. The technical information on the SF 277 should be provided by the person who is most knowledgeable about the file.

\*\*If there is one dataset in the file, you need to attach only one completed SF 277 to the ST 258.

If there is more than one dataset in the file, you should complete an SF 277 for each dataset. If the dataset name, the number of records, and the volume serial number is the only information that changes for each dataset, you should complete all of the information on the SF 277 for the first dataset and attach SF 277's containing the information which is different for each additional dataset. Make sure that you staple all of these related sheets together so that it is clear that they belong together and number the sheets according, e.g. 1 of 2, 2 of 2, etc.

\*\*Block 08 on the SF 277 is for documentation. Since there is more space on the SF 258 than on the SF 277 to describe documentation, you may choose to put the full description of the documentation on the SF 258. There has to be some indication of the documentation of the SF 258.

\*\*You should indicate in Block 32 on each SF 277 if the dataset has restrictions. There still has to be an indication of restrictions on the SF 258.

The SF 258, the SF 277's, the tapes, and the documentation should come directly to the branch at:

Archival Services Branch (NNXA)  
Center for Electronic Records  
National Archives  
Washington, DC 20408