

U.S. Department of Housing and Urban Development

ADMINISTRATION

Special Attention of: Transmittal for Handbook No: 2228.1 Rev-3

Issued: December 4, 1989

1. This Transmits

Handbook 2228.1 REV-3, Records Disposition Management.

2. Benefits: Through the records disposition management Program, HUD can move inactive records to low cost storage space in Federal Records Centers and destroy records no longer needed. This allows HUD to operate more efficiently and effectively by:

- a. Making office files more usable.
- b. Freeing up office space and filing equipment.
- c. Saving money otherwise spent on maintaining inactive or unnecessary records.

3. Significant Changes:

a. Two records disposition management directives are combined and updated to produce this Handbook:

- (1) Records Disposition Management Policy (Handbook 2228.1 REV-2, date 8/88). Forms the basis for Chapter 1, with some material added from Chapter 1 of the Procedural Supplement.
- (2) Records Disposition Management Procedural Supplement (2228.1 REV-1 SUPP-1, dated 4/86). Forms the basis for Chapters 2 through 8 of this Handbook.

b. Offers of records for permanent retention are now prepared on Standard Form (SF) 115, "Request for Records Disposition Authority," (Chapter 3). (Source: National Archives and Records Administration (NARA) memos NI 18.87, dated 9/24/87; NI 19.87, dated 9/30/87) Formerly, offers were prepared on SF 258, "Request to Transfer, Approval, and Receipt of Records to National Archives of the United States."

c. National Archives should be offered for permanent retention any unusually significant records which are part of a series scheduled as disposable (pars. 3-1b and 5-2d(3)). (Source: NARA memo 3a.86, dated 2/21/86)

d. New par. 3-4 on scheduling ADP records covers:

- (1) Records of ADP systems created in central ADP facilities, such as the Headquarters computer room. Handbook 2229.1,

Records Disposition Scheduling for Automated Systems, provides detailed instructions on scheduling mainframe ADP system files, including a model schedule for those files.

- (2) Electronic records created on personal computers at individual workstations. New General Records Schedule (GRS) 23 covers many of these records. Program data bases or other electronic records not covered by GRS 23 will have to be scheduled separately in HUD records disposition schedules.
- e. Chapters 3 and 5 reflect the General Accounting Office's (GAO's) newly revised Title 8, GAO Policy and Procedures Manual for Guidance of Federal Agencies, dated 4/1/88. Changes include:
 - (1) Accountable officers' records and site audit records are not GAO records but are agency records held for GAO audit.
 - (2) GAO requirements for records whose disposal depends on completion of GAO audit of related accountable officers' accounts and which are not required by GRS or law to be kept longer (par. 3-9a(4)).
 - (3) If the proposed retention Periods for administrative or claims records are longer than those in the GRS, GAO approval is not needed (par. 3-13a).
- f. In general, records should have 1 year left on their lifespan to meet the criteria for retirement to a Federal Records Center (pars. 3-9c(2) and 6-3b). (Source: Introduction to GRS, dated 6/88)
- g. NARA no longer publishes in the Federal Register any schedules that propose to increase the retention period for records already scheduled (par. 3-14c). (Source: NARA memo NI 5.86, dated 4/28/86)
- h. Contractors can be used to develop HUD records disposition schedules (par. 3-17). (Source: NARA memo NI 6.87, dated 1/23/87)
- i. A contractor employee is allowed to serve as witness to the destruction of restricted records, in place of a Federal employee, when authorized by HUD (par. 5-9a). (Source: 36 CFR 1228.74(b))
- j. Par. 5-9b covers the erasure and reuse of nonpaper media and the turn-in of media subject to the precious metals recovery process. (Source: NARA Bulletin 87-5, par. 6, dated 2/11/87; 41 CFR Subpart 101-42.3)

12/89

-
- k. Pars. 6-4 and 6-11 explain how to retire and retrieve employee medical folders (EMF's) and loose medical documents from the National Personnel Records Center. New SF 184, "Request for Employee Medical Folder," is shown in Exhibit 6-10. (Source:

NARA Bulletins 87-4, dated 1/13/87: 88-4, dated 3-30-88)

- l. When retiring accountable officers' accounts records (GRS 6, item 1) to a Federal Records Center, the SF 135, "Records Transmittal and Receipt," must state whether or not the records pertain to American Indians (par. 6-6h). (Source: Washington National Records Center (WNRC) memo, dated 12/23/88)
- m. Chapter 6 reflects NARA Bulletin 89-4, dated 4/27/89, on retiring records to the Washington National Records Center (WNRC) in Suitland, MD. Separate paragraphs provide:
 - (1) Headquarters instructions for using the WNRC pickup service unique to the Washington, DC, metropolitan area (par. 6-9). New Exhibits 6-6 and 6-7 show how to properly load Center cartons onto skids or pallets for pickup.
 - (2) Regional and Field instructions for shipping or delivering records to the Centers (par. 6-10).
- n. Par. 6-11b(1) lists the only employees other than the Records Center Liaison Unit who can recall records from WNRC. WNRC allows telephone requests for records in an emergency (par. 6-11c).
- o. NA Form 13016, "Notice of Accession Location Change," is shown in Exhibit 6-11. NARA sends this notice to HUD when records are moved within a Federal Records Center (par. 6-11g).
- p. Par. 6-14b(2) lists the information that the public should give when requesting access to HUD records stored in Federal Records Centers.
- q. Chapter 7 provides more detail on transferring these types of records to the National Archives for permanent retention:
 - (1) Audiovisual records (par. 7-2b(1) and Exhibit 7-1). (Source: 36 CFR 1228.184)
 - (2) Cartographic and architectural records (par. 7-2b(2) and Exhibit 7-2). (Source: 36 CFR 1228.186)
 - (3) Automated records (pars. 7-2, 7-3 and 7-4: Exhibits 7-4 and 7-6).
 - (4) Permanent records stored on optical disks (par. 7-5). In general, such records must be converted to paper, microforms or magnetic tape before transfer to the National Archives. (Source: NARA Bulletin 88-8, dated 9/19/88)
- r. Computer software and diskettes are HUD property and cannot be removed (par. 8-1b). Separating employees must sign a new block on Form HUD-58, "Clearance for Separation of Employee," to certify

12/89

that they have not removed any HUD records, computer software or diskettes (par. 8-5). A sample Form is shown in Exhibit 8-1. (Source: An approved employee Idea)

- s. Headquarters RMLO's must inspect any papers which separating employees want to remove from HUD (par. 8-4a(1)). The Departmental Records Management Officer will conduct the inspections only when the RMLO and alternate are absent.
 - t. New Chapter 9 covers:
 - (1) Records created under a HUD contract (Section 1). (Source: NARA Bulletin 88-5, dated 5/20/88)
 - (2) Disposition of records when a program or office is terminated (Section 2). (Source: NARA Bulletin 89-3, dated 1/11/89)
 - u. Exhibits show the latest version of the forms and provide filled-in samples where possible. The SF 258 in Exhibit 7-3 shows a transfer of scheduled records instead of an offer (now prepared on SF-115).
 - v. A list of abbreviations is added to the Glossary in Appendix 1 (Section 2). The definitions of "automatic data processing records," "disposal," and unscheduled records in Section 1 are revised; "offer" is defined.
4. Cancellations: Handbook 2228.1 REV-2, Records Disposition Management Policy, dated-8/88; and 2228.1 REV-1 SUPP-1, Records Disposition Management Procedural Supplement, dated 4/86.

5. Filing Instructions:

Remove:

Handbook 2228.1 REV-2,
dated 8/88

2228.1 REV-1 SUPP-1,
dated 4/86

Insert:

Handbook 2228.1 REV-3,
dated 12/89

12/89

4

W-3-1, W-1, W-2, W-3, R-1, R-2, R-3-2, R-3-3, R-6,

R-6-2, R-7, R-7-2, R-8, R-9, SPECIAL (Direct by ASE)

W-3-1 Directives Management Officers--Headquarters and Regions,
library, ACIR (Advisory Commission on Intergovernmental
Relations)

W-1 Assistant Secretaries, Deputy Assistant Secretaries,
General Counsel, staff offices reporting to the Secretary

W-2 HQ Office Directors, Special Assistants,
those reporting directly to Assistant Secretaries

W-3 HQ Division Directors, those reporting directly to Office
Directors, multiple copies for staff

R-1 Regional Administrators, Deputy Regional Administrators
R-2 Office Directors, Principal Assistants in Regional Administrators' offices
R-3-2 Directors, Administrative Services Divisions and Administrative and Management Services Divisions, and Administrative staffs
R-3-3 Category D offices - bulk
R-6 Category A offices - Office Managers and Deputy Office Managers
R-6-2 Category A offices - Division Directors
R-7 Category B offices - Office Managers and Deputy Office Managers
R-7-2 Category B offices - Division Directors
R-8 Category C offices - Office Managers and Deputy Office Managers
R-9 Directors and Deputy Directors, Offices of Indian Programs

U.S. Department of Housing and Urban Development

ADMINISTRATION

Special Attention of: Transmittal Handbook No.: 2228.1 REV-3
CHG-1
Issued: March 18, 1993

1. This Transmits handbook 2228.1 REV-03 CHG-1, Records Disposition Management.
2. Summary. This handbook has been changed to specify the types of documents that may and may not be removed from the Department by separating employees and to revise the procedures for removing personal papers from the Department.
3. Filing Instructions:

<p>Remove:</p> <p>Table of Contents, pages v and vi, dated 12/89</p> <p>Chapter 8, in its entirety, dated 12/89</p>	<p>Insert:</p> <p>Table of Contents, page v, dated 3/93 and page vi, dated 12/89</p> <p>Chapter 8, pages 8-1 thru 8-7, dated 3/93</p>
---	---

ASES : Distribution : W-3-1, W-1, W-2, W-3, W-3-1, R-1, R-2, R-3-2, R-3-3, R-6, R-6-2, R-7, R-7-2, R-8, R-9

HUD-23 (9-81)

W-3-1, W-1, W-2, W-3, R-1, R-2, R-3-2, R-3-3, R-6, R-6-2, R-7, R-7-2,

R-8, R-9

W-3-1 Directives Management Officers--Headquarters and Regions,
library, ACIR (Advisory Commission on Intergovernmental
Relations)

W-1 Assistant Secretaries, Deputy Assistant Secretaries,
General Counsel, staff offices reporting to the Secretary

W-2 HQ Office Directors, Special Assistants,
those reporting directly to Assistant Secretaries

W-3 HQ Division Directors, those reporting directly to Office
Directors, multiple copies for staff

R-1 Regional Administrators, Deputy Regional Administrators

R-2 Office Directors, Principal Assistants in Regional
Administrators' offices

R-3-2 Directors, Administrative Services Divisions and
Administrative and Management Services Divisions, and
Administrative staffs

R-3-3 Category D offices - bulk

R-6 Category A offices - Office Managers and Deputy Office
Managers

R-6-2 Category A offices - Division Directors

R-7 Category B offices - Office Managers and Deputy Office
Managers

R-7-2 Category B offices - Division Directors

R-8 Category C offices - Office Managers and Deputy Office
Managers

R-9 Directors and Deputy Directors, Offices of Indian Programs