

SAMPLE FORM HUD-21001, FILES
MAINTENANCE AND DISPOSITION PLAN

Files Maintenance
and Disposition Plan

U.S. Department of Housing
and Urban Development



Date Prepared 7/11/XX		1. Office of Record (Name and Correspondence Code of Office) Management Information Branch, ASES		2. Name of Files Custodian Ann Appleton	
3. Name and Title of Office Supervisor Mary Yule, Chief			4. Signature of Supervisor <i>Mary Yule</i>		5. Office Telephone 708-1800
6. Item No.	7. Title/Description of Record Series	8. Filing Arrangement	9. Disposition Instructions (Cite records schedule and item no. for instructions. Enter "None" if standard cannot be found.)		
1.	Files Maintenance and Disposition Plan; Office Subject Outline.		Destroy when superseded or obsolete. (GRS 16/7)		
2.	Branch office subject files. See the Branch office subject outline for a listing of the subject file categories. Use HUD 3/1 for all file categories EXCEPT: BUD Budget PER 5 Employment (Contains supervisor's personnel files on individual employees, filed alphabetically by last name.) REM 9-1 Legal Opinion on Microfilmed Records REM 10-3 Information Resources Management Newsletters REM 10-5-1 Center Disposals REM 10-6 Disposal Lists REM 10-9 Offers for Permanent Retention	Subject-numeric	Break files annually. Destroy 3 years after files break or when no longer needed for reference, whichever is earlier. (HUD 3/1) Break file at end of fiscal year. Destroy 3 years after end of fiscal year. (HUD 3/24b) Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer. (GRS 1/18a) Destroy when superseded, obsolete or no longer needed for reference. (HUD 2/10e) Destroy when superseded, obsolete or no longer needed for reference. (HUD 3/6) Destroy 1 year after all records covered by the SF 135 are destroyed. (HUD 3/66a) Destroy 1 year after all records covered by the disposal list are destroyed. (HUD 3/66a) If approved, destroy 1 year after records are transferred to National Archives. (HUD 3/66c(1)) If disapproved, destroy 1 year after disapproval. (HUD 3/66c(2))		

6. Item No.	7. Title/Description of Record Series	8. Filing Arrangement	9. Disposition Instructions (Cite Records Schedule and Item no. for instructions. Enter "None" if standard cannot be found.)
3.	<p>REM 16 RMLO/MLO Designations</p> <p>REM 18 Ideas</p> <p>Chronological Files (Reading)</p>	Chron	<p>Destroy designations when superseded or obsolete. (HUD 3/61)</p> <p>Destroy when superseded, obsolete or no longer needed for reference. (HUD 3/61)</p> <p>Break file annually. Destroy 3 years after files break or when no longer needed for reference, whichever is earlier. (HUD 3/2)</p>
4.	<p>Records Management Handbooks. Working files used to develop handbooks and changes. (EXCEPT: 2225.6 contains only printed copies. Material on developing schedule changes is filed in the schedule case files, item 10 below.)</p> <p>2223.1 Files Management</p> <p>2224.1 Micrographics Management Policy</p> <p>2224.1 SUPP-1 Micrographics Procedural Supplement</p> <p>2225.6 HUD Records Disposition Schedules</p> <p>2228.1 Records Disposition Management</p> <p>2228.2 General Records Schedules</p>	Numerical	<p>Destroy when superseded, obsolete or no longer needed for reference. (HUD 3/6)</p>
5.	<p>Case history files on Administration directives. Includes drafts, clearance response records, approval records, and the final printed version of the directive.</p>	Numerical	<p>Cut off when directive is rescinded, superseded, or obsolete and place in inactive file. Retire inactive file to Federal Records Center 3 years after cutoff or when volume warrants. Destroy 15 years after cutoff. (HUD 3/62a)</p>
6.	<p>Central reference set of all current Administration directives (printed).</p>	Numerical	<p>Destroy directives when rescinded, superseded or obsolete. (HUD 3/62c)</p>
Date Reviewed	Name of Records Coordinator, if Any	Date Approved	Name of Records Management Liaison Officer
Signature	Signature		Signature

Exhibit 1-2

6. Item No.	7. Title/Description of Record Series	8. Filing Arrangement	9. Disposition Instructions (Cite Records Schedule and item no. for instructions. Enter "None" if standard cannot be found.)
7.	Regulations case files. Administration clearance packages on regulations.	Numerical by OGC job control number	Destroy when 3 years old or when no longer needed for reference, whichever is earlier. (HUD 2/1c)
8.	Micrographics proposals/requests.		None. Item being developed.
	a. Headquarters.	Alpha by organization	
	b. Field.	Numerical by Region; then alpha by organization	
9.	Micrographics technical reference files. Material received from vendors on micrographics equipment, supplies, and services. Kept in 2 groups:		Destroy when superseded, obsolete, or no longer needed for reference. (HUD 3/6)
	a. Equipment and supplies.	By type of equipment	
	b. Vendors.	Alpha by vendor	
10.	HUD Records Disposition Schedules. Includes SF 115, "Request for Records Disposition Authority," and results of GAO review.	Numerical	Destroy 1 year after supersession. (HUD 3/66b)
11.	Shelf lists of records retired to Washington National Records Center. Includes SF 135, "Records Transmittal and Receipt," and copies of box lists.	Organizational; then numerical by accession number	Destroy 1 year after all records covered by the SF 135 are destroyed. (HUD 3/66a)
Date Reviewed	Name of Records Coordinator, if Any	Date Approved 7-14-XX	Name of Records Management Liaison Officer Larry Doe
Signature		Signature <i>Larry Doe</i>	