

CHAPTER 3. IDENTIFYING VITAL RECORDS

- 3-1. RELATIONSHIP OF VITAL RECORDS TO ESSENTIAL EMERGENCY FUNCTIONS. Since Vital Records are those records necessary for the Department to perform its essential functions during a national emergency (including a nuclear attack on this country), an understanding of HUD's essential emergency functions is necessary.
- 3-2. HUD's ESSENTIAL EMERGENCY FUNCTIONS. In general HUD's essential emergency functions are the following:
- a. Before Attack - develop emergency plans and programs;
 - establish capability to function in emergency conditions.
 - b. During Attack - advise the national leadership regarding damage to housing and community facilities;
 - advise the national leadership regarding what it should instruct and inform the nation;
 - recommend to the national leadership housing objectives in accord with the evolving situation; and
 - prepare to coordinate federal housing assistance to State/local governments at earliest opportunity.
 - c. After Attack - organize and staff for housing recovery;
 - initiate temporary housing program;
 - initiate salvage, rehabilitation and new construction operations for permanent housing and community facilities;
 - initiate urban development programs;
 - arrange for adequate financing for above;
 - institute price and rent stabilization programs;
 - develop national long-range housing policy;
 - establish national housing goals, objectives and priorities;
 - preserve the rights and interests of individual citizens and the Government (through use of records containing proof of ownership, financial interest, legal decisions, etc.)
 - assure all housing and urban development programs are administered on a non-discriminating basis.

3-1

More specific HUD essential emergency functions are identified in HUD Handbook 3200.1 REV-2, Appendix 9, "HUD Emergency Organization and Functions."

3-3. RECOMMENDING VITAL RECORDS. Each HUD Vital Records Reporting Organization should identify as a Vital Record any document, associated with its organization, which is necessary to the Department for performance of the essential emergency functions shown in 3-2. Each year's List of Vital Records for any organization should of course begin with a review of the validity of the most recent Vital Records Listing for that organization.

3-4. SCREENING AGENCY RECORDS. As a safeguard against overlooking Vital Records needed for performance of essential emergency functions, the GSA recommends that agencies give special consideration to the following types of records:

a. General Management Records.

- (1) Copies of basic legislation, regulations and procedures.
- (2) Summary status reports on its regular on-going programs.

b. Personnel Records.

- (1) Rosters of employees (telephone directories or payroll lists).
- (2) Rosters of employees showing skills that might be useful during or following an emergency.

c. Legal Rights Records.

- (1) Records of legal rights maintained by the Federal Government as the statutory office of records.
- (2) Civil Service employees records of equity in their retirement funds; also their leave and pay records.

d. Fiscal Records.

- (1) Periodic summaries of financial status of programs.
- (2) Records of significant amounts of money due the Government.

3-2

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- (3) Records of certain debts owed by the Government.
 - (4) Records of loans the Government has made.

e. Industrial (Type) Records.

- (1) Engineering drawings.
- (2) Lists of suppliers of items and materials not

available everywhere.

f. Assigned Mission Records.

- (1) Emergency missions for which the agency may be responsible, such as wage, price or rent stabilization programs.

3-5. GUARDING AGAINST OVERLY ELABORATE VITAL RECORDS PROGRAM. The GSA has made the following observations:

- a. Some agencies identify too many records as "vital," thereby risking (unnecessarily) running into budget or procedural difficulties.
- b. Private companies, usually identify no more than one or two percent of their records as "vital."

3-6. HUD HEADQUARTERS ISSUANCES AND FORMS ARE ALREADY BEING STORED. Although not all HUD Headquarters issuances (Handbooks, Mortgagee Letters and Notices) and forms would be considered Vital Records, many would. Since there is a constant flow of Headquarters issuances and forms being printed, it has been determined to be more cost effective for HUD to treat all of them as Vital Records and send copies to the Headquarters storage center(s) automatically at the time of their initial distribution. Accordingly, two copies each of all Headquarters issuances and forms are sent to HUD's National Relocation Site and one copy of all issuances (only) is sent to HUD's EOF at the FEMA Special Facility. You should not find it necessary to send additional copies of HUD Headquarters' issuances and forms to storage since duplicating equipment is available at those facilities.

3-7. PREVIOUSLY IDENTIFIED VITAL RECORDS.

- a. A complete listing of all HUD Headquarters Vital Records, as identified in the preceding year by Vital Records Reporting Organizations is maintained by the Emergency Preparedness

3-3

3-7. Staff. Copies will be provided to each Headquarters VRRO at the time of requesting the Annual Report on Vital Records.

- b. In the Regions, to the extent that a listing of Vital Records for reporting organizations is available, the Regional Emergency Coordinator will provide it to those organizations. As the listings of Regional Vital Records are refined and perfected, the Regional Emergency Coordinators and the Emergency Preparedness Staff shall share the listings to assist each other in developing the best listings possible.

