

RECORDS DISPOSITION SCHEDULE 63

**RECORDS OF PRIMARY ORGANIZATION HEADS
AND OTHER HIGH-LEVEL HUD STAFF**

This schedule provides records disposition standards for the records of the Primary Organization Heads and other high-level officials of the Department of Housing and Urban Development (HUD):

- A. **Primary Organization Heads (POH's) who report directly to the Secretary and Deputy Secretary. These officials include:**

Assistant Secretaries
 General Counsel
 President, Government National Mortgage Association
 (GNMA)
 Inspector General
 Chief Financial Officer
 Director, Office of Lead Hazard Control
 Secretary's Representatives

- B. **Officials who occupy the following or equivalent positions in the Office of the Secretary:**

Chief of Staff
 Assistants to the Secretary or Deputy Secretary
 Executive Assistants, Special Advisors, Senior Advisors, and
 Staff Assistants to the Secretary or Deputy Secretary
 Special Assistants to the Secretary or Deputy Secretary
 Director, Special Actions Office
 Director, Office of Small and Disadvantaged Business
 Utilization
 Chief Administrative Law Judge
 Chairman, HUD Board of Contract Appeals
 Director of Executive Secretariat

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This schedule also covers the records of the officials who occupied the now-defunct positions of Regional Administrators-- Regional Housing Commissioners which formerly reported directly to the Secretary and Deputy Secretary.

This schedule does not provide disposition instructions for the records of the Secretary and Deputy Secretary. Those records are covered by HUD Records Disposition Schedule 62.

Contact your Records Management Liaison Officer (RMLO) if you have any questions about:

- Schedule 63 and how it applies to your files, or
- whether the materials in your files are personal papers or Federal records.

When necessary, the RMLO will contact the Departmental Records Management Officer (DRMO) for advice and assistance in answering your questions.

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Item No.	<u>Description of Records</u>	<u>Disposition</u>
1.	<p>Official Program Subject Files. Files maintained in the immediate offices of the Primary Organization Heads (POH's) and other high-level officials identified in categories A and B on page 1 of this schedule. This schedule applies to both the files maintained in the immediate offices as well as any files separately maintained by the individual POH or high-level official.</p>	<p>Permanent. Break files annually. Retire to Federal Records Center 3 years after file break, or one year after incumbent leaves office, whichever is sooner. Transfer to National Archives 5 years after file break or 3 years after incumbent leaves office, whichever is sooner. (NARA Job N1-207-95-1, item 1a)</p>
a.	<p>Substantive Records which may include internal memoranda, meeting notes, minutes and agendas, interagency and internal correspondence not tracked through the Executive Secretariat, notes of conversations, routing slips with substantive tasking, internal reports, briefing materials, drafts and proposals for new programs, speeches, termination of functions, decisions and recommendations, agreements, memorandums of understanding, and studies.</p>	

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b.	Non-substantive Records which may include copies of correspondence tracked through the Executive Secretariat, extra copies of publications and news releases, travel plans, personnel matters, routine invitations to speak and replies, routine and facilitative correspondence of a non-substantive nature and other records that do not document substantive policies and procedures of the office.	Temporary. Break files annually. Destroy 3 years after file break. (NARA Job N1-207-95-1, item 1b)
2.	Chronological correspondence files. Consist of nonrecord copies of correspondence arranged in order by date.	Use HUD Records Disposition Schedule 3, item 2, which reads: "Break file annually. Destroy 3 years after file break or when no longer needed for reference, whichever is earlier." (NARA Job NC1-207-80-5, item 2)
3.	Calendars, appointment books, schedules, logs, diaries, journals, and all other records documenting meetings, appointments, telephone calls, trips, visits, and other	

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	activities by high-level HUD officials while serving in an official capacity. This includes such records kept in electronic form, but does not include personal papers (see item 4).	
a.	Records containing substantive information relating to official activities which have not been incorporated into the official files.	Permanent. Break annually. Retire to Federal Records Center 3 years after file break or one year after incumbent leaves office, whichever is sooner. Transfer to National Archives 5 years after file break or 3 years after incumbent leaves office, whichever is sooner. (NARA Job N1-207-95-1, item 3a)
b.	Records (1) which document routine activities containing no substantive information, or (2) which contain substantive information that has already been incorporated into the organized files.	Destroy or delete when no longer needed. May be removed when leaving office if cleared by the appropriate Records Management Liaison Officer (RMLO). The RMLO must verify that the records are eligible to be removed under this item. (NARA Job N1-207-95-1, item 3b)

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4.	Personal papers and electronic files consisting of (1) papers and files created before entering Government service, (2) personal correspondence and materials not related to Government business, and 3) work-related personal papers and files. Work-related personal papers and files include diaries, journals, notes, personal calendars and appointment schedules, and nonrecord material. Extra copies of records may also be included if inclusion does not (a) diminish HUD's official records; (b) violate confidentiality required by national security, privacy, or other interest protected by law; or (c) exceed normal administrative economies.	Temporary. File and maintain separately from official records. May be destroyed or deleted when no longer needed, or may be removed when leaving office if cleared by the appropriate RMLO. The RMLO must verify that the materials are eligible to be removed under this item. (NARA Job N1-207-95-1, item 4)
5.	Office administrative files relating to the internal administrative or housekeeping activities of the office rather than the functions for which the office exists.	
a.	Record copies of organizational charts, functional statements, and related records that document the office's	Use HUD Records Disposition Schedule 3, item 42a, which reads: "Place in inactive file when organizational change is

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	organization and the functions for which it exists.	completed. Retire to Federal Records Center when volume warrants. Destroy when 10 years old." (NARA Job NC1-207-80-5, item 42a)
b.	Time and attendance records upon which leave input data is based. Includes sign-in sheets, time cards, and flexitime records.	Use General Records Schedule 2, item 7, which reads: "Destroy after GAO audit or when 6 years old, whichever is sooner." Privacy Act System of Record HUD/DEPT-34.
c.	All other records related to payroll and pay administration.	Use the appropriate items of General Records Schedule 2. Contact your RMLO for advice and assistance. Privacy Act System of Record HUD/DEPT-34.
d.	Travel orders and vouchers and all other records related to official travel.	Use the appropriate items of General Records Schedule 9. Contact your RMLO for advice and assistance. Privacy Act System of Record HUD/DEPT-37.
e.	All other office administrative files.	Use General Records Schedule 23, item 1, which reads: "Destroy

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		when 2 years old, or when no longer needed, whichever is sooner."
6.	Freedom of Information Act (FOIA) and Privacy Act files.	Use General Records Schedule 14. Privacy Act requesters files are Privacy Act System of Record HUD/DEPT-52.
7.	Information requests and acknowledgement files, press service files, information project files, and commendation/complaint correspondence files.	Use General Records Schedule 14. Consumer complaint files are Privacy Act System of Record HUD/DEPT-53.
8.	Word processing files created or maintained in the offices of high-level officials identified in categories A and B on page 1 of this schedule. Word processing files consist of correspondence, reports, and other documents recorded on electronic media such as hard disks or floppy diskettes.	
	a. When used to produce hard copy which is filed in HUD's official files as the record copy.	Use General Records Schedule 20, item 13, which reads: "Delete from the word processing system when no longer needed for updating or revision."
	b. When the electronic form is the record copy.	Contact your RMLO for advice and assistance.

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9.	Electronic spreadsheets that are recorded on electronic media such as hard disks or floppy diskettes in the offices of high-level officials identified in categories A and B on page 1 of this schedule.	
a.	When used to produce hard copy which is filed in HUD's official files as the record copy.	Use General Records Schedule 20, item 15a, which reads: "Delete when no longer needed to update or produce hard copy."
b.	When the electronic form is the record copy.	Contact your RMLO for advice and assistance.
10.	Electronic data bases created and maintained on stand-alone or networked micro- and mini-computers in the immediate offices of the POH's and other high-level officials identified in categories A and B on page 1 of this schedule.	
a.	Data bases that support administrative or house-keeping functions. This item covers those administrative data bases which contain information derived from hard copy records authorized for destruction by the General Records	

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	Schedules (GRS) or HUD records disposition schedules.	
	(1) When hard copy records are retained in order to meet recordkeeping requirements.	Use General Records Schedule (GRS) 20, item 3b(1), which reads: "Delete electronic version when the agency determines that it is no longer needed for administrative, legal, audit, or other operational purposes."
	(2) When the data base takes the place of hard copy records.	Use GRS 20, item 3b(2), which reads: "Delete after the expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later."
	(3) Hard copy printouts created for short-term administrative purposes.	Use GRS 20, item 3b(3), which reads: "Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes."
b.	All other data bases.	Contact your RML0 for advice and assistance.

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11.	Suspense or tickler files. Consist of nonrecord extra copies of documents set aside to assure action by a specific date and other cards, notes or papers used as reminders that an action is required.	Use HUD Records Disposition Schedule 3, item 3, which reads: "Destroy 1 year after action is taken or reply is received or destroy when no longer needed for reference, whichever is earlier." (NARA Job NC1-207-80-5, item 3)
12.	Transitory files. Consist of papers of short-term interest which have no value as documentation or evidence. Include routine requests for information or publications and the replies; letters of transmittal which do not add any information; and memoranda and other papers on non-official matters such as holidays, charity drives, and bond campaigns.	Use HUD Records Disposition Schedule 3, item 4, which reads: "Destroy when 1 year old." (NARA Job NC1-207-80-5, item 4)
13.	Routine work control files. Consist of papers or cards used to facilitate or control work in progress. Include job control records, status cards, routing slips, and work processing sheets.	Use HUD Records Disposition Schedule 3, item 5, which reads: "Destroy when work is completed or when no longer needed for control." (NARA Job NC1-207-80-5, item 5)
14.	Technical reference files. Consist of extra (nonrecord) copies of issuances and directives, publications,	Use HUD Records Disposition Schedule 3, item 6, which reads: "Destroy when superseded,

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	<p>reports, speeches, and other material used for reference purposes. Include informational copies of correspondence. Also include nonrecord copies of: Organizational charts and statements, staffing documents, establishing policy or precedents which apply to future and continuing actions, publications of other Government agencies, and non-Government publications.</p>	<p>obsolete, or no longer needed for reference." (NARA Job NCI-207-80-5, item 6)</p>
15.	<p>Records on other media such as microfilm, audiovisual records, motion pictures, photographs, slides, original artwork, posters, sound recordings, video recordings, maps, charts, and architectural and engineering drawings.</p>	<p>Contact your RMLO for advice and assistance.</p>